

SC9901.400 SUBCHAPTER 400
PERFORMANCE MANAGEMENT
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REFERENCES:

- (a) Public Law 108-136, "National Defense Authorization Act," November 24, 2003**
- (b) Title 5, Code of Federal Regulations, Part 9901, "Department of Defense National Security Personnel System"**
- (c) DoD 1400.25.M, "DoD Civilian Personnel Manual," December 1996**
- (d) Title 5, United States Code, "Government Organization and Employees"**

400.1. Purpose.

This subchapter implements the National Security Personnel System (NSPS) performance management system under references (a) and (b) and prescribes procedures, delegates authority, and assigns responsibility for the NSPS performance management system. Policies regarding performance pay pool funding and calculations related to performance payouts are contained in SC300.5 of reference (c). Department of Defense (DoD) Components may issue policy, procedures, and guidance to supplement processes and procedures contained in this subchapter in so far as such policy, procedures, and guidance are consistent with the policy established in this subchapter and subsequent DoD issuances.

400.1.1. NSPS is designed to promote a performance culture in which the performance and contributions of the DoD civilian workforce are more accurately and fully recognized and rewarded. The NSPS performance management system is an essential part of this design by providing a fair and equitable method for appraising and evaluating the performance of eligible employees.

400.1.2. The execution of responsibilities and procedures in this subchapter and any supplemental guidance will support and be consistent with merit system principles set forth in title 5, United States Code (U.S.C.), Chapter 23, reference (d).

400.1.3. Waivers. The provisions of chapter 43 of title 5, U.S.C., are waived, thereby allowing supervisors and managers to adjust performance expectations in response to the Department's rapidly changing work environment and to more effectively hold employees accountable for those general and/or assignment-specific performance expectations.

400.2. Applicability.

This subchapter applies to non-executive civilian employees in the Office of the Secretary of Defense (OSD), the Military Departments, the Chairman of the Joint Chiefs of Staff, the Combatant commands, the Office of the Inspector General of the Department of Defense (DoD), the Defense Agencies, the Field Activities, and all other organizational entities in the Department of Defense (hereafter collectively referred to as the "Components"). For OSD and the DoD Field Activities with separately delegated authority, the Director, Administration and Management, exercises the functions of the Head of the Component for the purposes of this subchapter.

400.2.1. Coverage. The following employees and positions in DoD organizational and functional units are eligible for coverage under this subpart:

- (a) Employees and positions that would otherwise be covered by 5 U.S.C. chapter 43;
- (b) Employees and positions that were excluded from chapter 43 by OPM under 5 CFR 430.202(d) prior to the date of coverage of this subchapter; and
- (c) Such others designated by the Secretary as DoD may be authorized to include under 5 U.S.C. 9902.

400.2.2. Minimum Period of Performance. This subchapter applies to employees who, at a minimum, have been or are expected to be employed in an NSPS position and performing under an approved NSPS performance plan for 90 days during the current appraisal period. Policies addressing rating and rewarding employees in special circumstances are provided in Appendix A – Performance Assessments and Pay Adjustment Eligibility for Specially Situated Employees.

400.2.2.1. If an NSPS-covered employee loses NSPS coverage (e.g., due to job change) but then becomes covered under NSPS again during the same appraisal period, the minimum period of performance may not be satisfied by service performed prior to the return to NSPS.

400.2.2.2. Employees who have performed the minimum period will be issued a rating of record in accordance with the procedures prescribed by this subchapter.

400.2.2.3. Except as provided in Appendix A, employees who have not completed the minimum period of performance during the applicable appraisal period will not be rated, and therefore, will not be eligible for a performance payout. In accordance with SC400.11.2.3., employees who are not ratable because they have not or will not have performed the minimum period of service will be advised that they are ineligible for the performance payout.

400.3. Definitions.

Adjusted Rating. The numeric score resulting from the application of the contributing factor assessment to the employee's job objective rating.

Appraisal Period. In accordance with 5 CFR 9901.404 of reference (b), the established period of time during which performance will be monitored and assessed. Normally, the standard NSPS appraisal period will be October 1 through September 30 each year. During initial conversion into NSPS, organizations may be subject to an appraisal period other than the standard cycle. Additionally, the Secretary of Defense (or designee) may designate other periods as dictated by situation or circumstance.

Base Salary An employee's pay, as set by the authorized management official within the applicable pay band for the employee, before any deductions and exclusive of additional pay of any kind (e.g., local market supplement). For an employee receiving pay retention under SC300.6.11, the base salary may exceed the maximum of the applicable pay band.

Benchmark Descriptors. Common activities and behaviors associated with contributing factors that describe the manner in which a job objective is accomplished. They are used to evaluate the impact of how an employee achieves his/her job objective and are provided for contributing factors at the "Expected" and "Enhanced" levels for each pay schedule and pay band. (These are provided in Appendix B – Contributing Factors)

Bonus. An element of the performance payout that consists of a one-time, lump-sum payment made to an employee. A bonus is not part of base salary.

Closeout Assessment. A narrative description of an eligible employee's performance under an approved performance plan. A closeout assessment is not a rating of record.

Competencies. The measurable or observable knowledge, skills, abilities, behaviors, and other characteristics that an individual needs to perform a particular job or job function successfully.

Contributing Factors. Attributes of job performance that are significant to the accomplishment of individual job objectives. Individual contributing factors are further defined by "work behaviors" and "benchmark descriptors." (Contributing factors are listed in SC400.5.7.6. and the benchmark descriptors are provided in Appendix B)

Contribution. A work product, service, output, or result provided or produced by an employee or group of employees that supports the Departmental or organizational mission, goals, or objectives.

Early Annual Recommended Rating of Record. A recommended rating of record issued within 90 days before the end of the appraisal period.

Eligible Employee. An employee who on the last day of the appraisal period has satisfied the minimum period of performance under an NSPS appraisal period and who meets coverage requirements at SC400.2.1.

Interim Review. An assessment describing an employee's year-to-date progress on performance expectations, including job objectives and associated contributing factors.

Job Objectives. An expression of performance expectations in the performance plan that are linked to the organization's goal(s) and mission(s). Job objectives are used to communicate major individual, team, and/or organizational responsibilities and/or contributions and the related outcomes and accomplishments that are expected of the employee during the appraisal period. Failure in a job objective will result in an overall rating of unacceptable.

Modal Rating. For the purpose of pay administration, the most frequent rating of record assigned to employees in the same pay band within a particular pay pool for a particular rating cycle.

Pay Pool. The organizational elements/units or other categories of employees that are combined for the purpose of determining performance payouts. Each employee is in only one pay pool at a time. Pay pool also means the amount designated for performance payouts to employees covered by a pay pool.

Pay Pool Manager. The individual designated to manage the pay pool, resolve discrepancies, and ensure consistency.

Pay Pool Panel. Usually senior management officials, including the pay pool manager, of the organizations or functions represented in the pay pool that assist the pay pool manager in the exercise of his/her responsibilities.

Performance. The accomplishment of work assignments or responsibilities and the contributions to achieving organizational goals, including an employee's behavior and professional demeanor (actions, attitude, manner of performance) as demonstrated by his or her approach to completing work assignments.

Performance-Based Pay Increase. An element of the performance payout that consists of an increase to an employee's base salary; also known as "performance pay increase."

Performance Expectations. The duties, responsibilities, and competencies required by, or objectives associated with, an employee's position and the contributions and demonstrated competencies that management expects of an employee, as described in section 9901.406(d) of ref (b).

Performance Indicators. General descriptions of levels or thresholds of employee performance used to measure, evaluate, and score an employee's achievement of his/her job objective(s). The performance indicators are provided at Level 3 and Level 5 for each pay schedule and pay band. (These are provided in Appendix C – Performance Indicators.)

Performance Management. Applying the integrated processes of setting and communicating performance expectations, monitoring performance and providing feedback, developing performance and addressing poor performance, and rating and rewarding performance in support of the organization's goals and objectives.

Performance Management System. The policies and requirements for setting and communicating employee performance expectations, monitoring performance and providing feedback, developing performance and addressing poor performance, and rating and rewarding performance. The performance management system will address the elements set forth in section 9901.401 of reference (b).

Performance Review Authority. A senior management official or an organizational unit or group that manages and oversees the payout process, payout funds and pay pool decisions.

Performance Payout. The total monetary value of a performance pay increase and bonus provided under section 9901.342 of reference (b) and SC300.

Performance Plan. A written or electronic document that contains at least one and generally three to five job objectives and associated contributing factor(s) for each job objective.

Performance Share. A unit of performance payout awarded to an employee based on performance.

Rating Official. A representative of management, usually the immediate supervisor, who is approved by the pay pool manager to evaluate and assess employee performance and recommend a rating of record for review by the pay pool panel.

Rating of Record. A performance appraisal prepared (1) at the end of an appraisal period covering an employee's performance of assigned duties against performance expectations over the applicable period, or (2) as needed to reflect a substantial and sustained change in the employee's performance since the last rating of record as provided in this subchapter.

Self-Assessment. An employee's narrative description of his/her year-to-date accomplishments related to his/her job objectives and the associated contributing factors.

Unacceptable Performance. Performance of an employee which fails to meet one or more performance expectations, as amplified through work assignments or other instructions, for which the employee is held individually accountable.

Work Behaviors. Activities and skills related to a contributing factor that describe how performance is exhibited on the job. (These are described in Appendix B)

400.4. General Roles and Responsibilities.

Performance management is a priority for supervisors, managers, and employees at all levels. The success of leaders must be linked to the performance of subordinate supervisors and employees and full execution of performance management and pay-for-performance responsibilities and practices at all levels of the organization. Performance-based pay is the linkage between pay – base salary and/or lump-sum bonus – and measures of organizational, team, and/or individual performance. The success of pay-for-performance policies depends on performance planning, measurement, and management practices. All parties need to invest adequate time and effort throughout the appraisal period for training on and administration of performance management.

400.4.1. **Performance Review Authority (PRA).** The PRA provides oversight of several pay pools and addresses the consistency of performance management policies within a Component, major command, field activity, or other organization as determined by the Component. DoD Components may provide guidance for the establishment of PRAs. The responsibilities of the PRA may be assigned to an individual management official or organizational unit or groups. PRA oversight responsibilities should include application of DoD and Component NSPS policies pertaining to the operation of pay pools. PRA members may not participate in payout deliberations or decisions that directly impact their own rating of record. PRA responsibilities are further described in SC400.11.5.

400.4.2. **Pay Pool Manager.** The pay pool manager is charged with the overall responsibility for the effective operation of the pay pool and for the distribution of funds in a manner consistent with DoD, Component, and activity policies. The pay pool manager is the final approving official of the rating of record. Performance payout determinations, as authorized by the pay pool manager, may be subject to higher management review by the PRA or equivalent review process. Pay pool managers may not participate in payout deliberations or decisions regarding their own performance assessment or pay. Pay pool manager responsibilities are further described in SC400.11.4.

400.4.3. **Pay Pool Panel.** The pay pool panel is a board of management officials who are usually in positions of line authority or in senior staff positions with resource oversight for the organizations, groups or categories of employees comprising the pay pool membership. The primary function of the pay pool panel is the reconciliation of ratings of record, share distribution, and payout allocation decisions. Pay pool panel members

may not participate in payout deliberations or decisions that directly impact their own performance assessment or pay. Pay pool panel composition and responsibilities are further described in SC400.11.3.

400.4.4. Supervisors. Supervisors are charged with the responsibility of, and will be held accountable for, effectively managing the performance of assigned employees, including but not limited to:

- (1) Executing the requirements of this subchapter in a manner consistent with merit system principles set forth in chapter 23, of reference (d);
- (2) Ensuring employees are trained in the performance management system;
- (3) Clearly communicating performance expectations and holding employees responsible for accomplishing them;
- (4) Aligning performance expectations and employee development with organization mission and goals;
- (5) Developing written job objectives reflective of expected accomplishments and contributions for the appraisal period and identifying applicable contributing factors;
- (6) Explaining to employees that conduct will be considered when evaluating their performance, both conduct that would raise the level of performance and conduct that would lower the level of performance;
- (7) Providing employees meaningful, constructive, and candid feedback relative to performance expectations, including at least one documented interim review;
- (8) Ensuring employees are aware of the opportunity to provide a self-assessment;
- (9) Fostering and rewarding excellent performance;
- (10) Addressing poor performance;
- (11) Making meaningful distinctions among employees based on performance and contribution;
- (12) Completing closeout assessments, early annual recommended ratings, and special purpose ratings, as appropriate;
- (13) Assuring that eligible employees are assigned a rating of record as prescribed by this subchapter; and
- (14) Forwarding recommended ratings of record, numbers of shares, and payout allocations to the pay pool.

400.4.4.1. In order to recommend a rating of record for consideration by the pay pool panel, the supervisor must be adequately prepared through appropriate training in the basic elements of NSPS performance management. Requirements for rating official qualification are found in Appendix D – Rating Official Qualification.

400.4.5. Employees. Employees are encouraged to:

- (1) Engage in dialogue with supervisors to develop job objectives and identify associated contributing factors;

- (2) Identify and record their accomplishments and results throughout the appraisal period;
- (3) Participate in interim reviews and the end-of-year assessments, including the self-assessment; and
- (4) Understand the link between their performance expectations, conduct, and organization mission and goals.

400.5. Setting Performance Expectations.

400.5.1. Aligning Performance Expectations, Mission, and Goals. Performance expectations will support and align with the DoD mission and its strategic goals, organizational program and policy objectives, annual performance plans, and other measures of performance. The DoD mission and goals cascade to the organization, and resulting organization mission and goals are the basis for individual performance expectations.

400.5.2. Performance Expectations. Performance expectations may include:

- (1) Goals or objectives that set general or specific performance targets at the individual, team, and/or organizational level;
- (2) Organizational, occupational, or other work requirements, such as standard operating procedures, operating instructions, manuals, internal rules and directives, and/or other instructions that are generally applicable and available to the employee;
- (3) Competencies an employee is expected to demonstrate on the job and/or the contributions an employee is expected to make;
- (4) Conduct that can be expected to affect the value of the performance; and/or
- (5) Behavioral expectations as described in SC400.5.3.

400.5.2.1. Particular work assignments or other instructions may be used to amplify performance expectations. These work assignments or instructions may specify the quality, quantity, accuracy, timeliness, or other expected characteristics of the completed assignment or some combination of such characteristics.

400.5.3. Conduct and Behavior Affecting Performance. Performance expectations, even if not stated in a job objective, include the general behavioral expectations for all employees as stated in the Standards of Ethical Conduct for Employees in the Executive Branch, and the DoD Joint Ethics Regulations, as well as any behavioral expectations or conduct specifically related to the local organization.

400.5.3.1. Employees, managers, and supervisors are always accountable for demonstrating professionalism and standards of appropriate conduct and behavior which impact the performance of the individual, team, and/or organization.

400.5.4. Communicating Performance Expectations. Communication between supervisors and employees is critical to the success of the performance management

system; therefore, performance expectations and year-to-date progress should be the subject of several discussions throughout the year between supervisors and employees. In accordance with SC400.6.3.2., at least one interim review is required.

400.5.4.1. Performance expectations will be communicated to the employee in writing prior to holding the employee accountable for them. However, notwithstanding this requirement, employees are always accountable for demonstrating professionalism and standards of appropriate conduct and behavior, such as civility and respect for others.

400.5.4.2. Supervisors and employees should have meaningful dialogue on performance expectations, including but not limited to:

- (1) Job objective(s) and performance indicator(s) appropriate for the pay band and current salary to which the employee is assigned and how they relate to organizational mission and goals;
- (2) Selected contributing factors and how these relate to the accomplishment of the job objective(s);
- (3) Weight of each job objective, if applicable;
- (4) Examples of how the supervisor expects the employee to exhibit contributing factors in the execution of assigned duties and how these factors could modify ratings on the job objective;
- (5) Measures of job objective accomplishment (quantitative, qualitative, timeliness); and
- (6) Developmental expectations.

400.5.5. Adjustment of Performance Expectations during the Appraisal Period.

Performance expectations should be reviewed regularly. When adjusting performance expectations, supervisors and employees must follow the requirements for planning, communicating, monitoring, and assessing expectations established in this subchapter.

400.5.6. Performance Plans. Every eligible employee will be issued a performance plan containing the employee's major job objectives and associated contributing factors. Performance plans will be documented on the official DoD NSPS performance form.

400.5.6.1. Performance plans will be in place and communicated to the employee within 30 days from the start of the rating cycle, entrance on duty of a new employee, or employee job change. The 30-day requirement may be extended up to an additional 60 days. Such extension will not impact or delay the payout effective date.

400.5.6.2. The performance plan is subject to higher-level review to ensure consistency and fairness within and across organizations. The performance plan is considered to be approved after higher-level review and the supervisor has communicated the plan to the employee in writing. The supervisor will record the employee's receipt of the performance plan and the manner in which it was communicated (face-to-face, telephone, etc.) to the employee on the official DoD NSPS performance form.

400.5.6.3. An employee's performance plan should be adjusted as needed. The supervisor will discuss modifications or adjustments to an employee's performance plan with the employee.

400.5.7. Job Objectives and Contributing Factors. Performance expectations in the form of job objectives and contributing factors will be described in the performance plan for each eligible employee. Supervisors are encouraged to involve employees in the development of their job objectives and the identification of applicable contributing factors. Normally, this process will include at least one face-to-face discussion between supervisors and employees. Final decisions regarding performance expectations, including job objectives and associated contributing factors, are within the sole and exclusive discretion of management.

400.5.7.1. Each eligible employee will be assigned at least one and generally three to five job objectives. These job objectives will be commensurate with duties and responsibilities assigned to the employee and the salary paid to that employee. Job objectives may be weighted to reflect relative priority of the objectives included in the performance plan. No job objective may be weighted less than 10 percent. Weighted job objectives must total 100 percent.

400.5.7.2. Adding Job Objectives. When new job objectives are assigned (e.g., due to a job change, additional duties, promotion, etc.), job objectives must communicate that portion of a major performance expectation that can be accomplished within the time remaining in the appraisal period.

400.5.7.3. Mandatory Job Objective(s) for Supervisors. A supervisor's performance plan, including a performance plans for supervisors under an NSPS performance system who supervise employees under a non-NSPS system, will include at least one supervisory job objective. This job objective may require accountability for the effective administration of NSPS (if applicable), EEO, and/or other Component-specific requirements. Applicable policies for which supervisors will be held accountable include, but are not limited to, those documented in this subchapter and supplemental guidance issued by DoD and/or Components as well as those in other laws or regulations.

400.5.7.4. A mandatory job objective will hold supervisors accountable for carrying out the responsibilities outlined in the implementing issuances and subsequent Component policy and guidance, including but not limited to:

- (1) Clearly communicating performance expectations and holding employees responsible for accomplishing them;
- (2) Making meaningful distinctions among employees based on performance and contribution;
- (3) Fostering and rewarding excellent performance;
- (4) Addressing poor performance;
- (5) Assuring that employees are assigned a rating of record when required by implementing issuances; and

(6) Adhering to laws and regulations governing merit systems principles, prohibited personnel practices and equal employment opportunity.

400.5.7.5. Applicable contributing factors that reflect the manner of performance important for the accomplishment of the job objective, as described in SC400.5.7.6., will be selected for each job objective. Selection of contributing factors is based on identifying the manner of performance that will significantly contribute to the accomplishment of the job objective. Actions, attitude, manner of completion, and/or conduct or professional demeanor as they positively or negatively impact individual or organizational performance may be aspects of an employee's performance that are assessed within the appraisal period.

400.5.7.6. The NSPS contributing factors are:

- (1) Technical Proficiency
- (2) Critical Thinking
- (3) Cooperation and Teamwork
- (4) Communication
- (5) Customer Focus
- (6) Resource Management
- (7) Leadership

400.5.7.7. Criteria for Selection of Contributing Factors. When selecting the contributing factors for each job objective, the supervisor should only select those that add sufficient assessment information to impact a particular job objective and reflect the manner of performance important for the accomplishment of the job objective rather than the strengths or weaknesses of the employee performing the job. Generally, no more than three contributing factors should be identified for each job objective. Employees in the same organization (e.g., work unit, pay pool, etc.) with similar job objectives and base salary should be assigned similar contributing factors, as appropriate.

400.5.7.8 The "leadership" contributing factor must be selected for the supervisory job objective described in SC400.5.7.3. This contributing factor may be selected for a supervisor's other job objectives, as appropriate.

400.5.7.9. The "leadership" contributing factor may be assigned to any employee who is responsible for directing work and developing other employees.

400.6. Monitoring Performance.

400.6.1. As part of monitoring employee performance, supervisors are expected to:

- (1) Engage in dialogue concerning performance;
- (2) Hold one or more interim reviews with employees
- (3) Maintain performance records;
- (4) Update job objectives if they change;

- (5) Anticipate and address performance deficiencies; and
- (6) Reinforce effective behavior

400.6.1.1. Properly monitoring performance enables supervisors to identify, address, and resolve performance deficiencies during the appraisal cycle. A Level 1 rating of record does not need to be formally assigned to the employee in order to address a performance deficiency.

400.6.2. Dialogue and Feedback. Supervisors will provide on-going (i.e., regular and timely) feedback in the form of meaningful dialogue with employees regarding their performance. Face-to-face is the preferred method of supervisory/employee dialogue for performance-based issues. Although supervisors have the primary responsibility for providing employees feedback, employees share the responsibility of identifying and communicating successes and difficulties relative to their assigned performance expectations.

400.6.2.1. Employees may request periodic dialogue and feedback regarding their own performance. To the extent practicable, supervisors will accommodate such requests.

400.6.3. Interim Reviews. While ongoing informal dialogue and feedback are essential throughout the rating cycle, one or more formal interim performance reviews will be held between supervisors and employees. At least one interim performance review will be prepared and documented during the appraisal period.

400.6.3.1. A formal interim review will acknowledge achievements and suggest areas for improvement, and provide meaningful dialogue and exchange of concerns. Developmental suggestions may also be provided to the employee, as appropriate.

400.6.3.2. Employees will be provided with a copy of the interim review. Supervisors will record the employee's receipt of the interim review and the manner in which the review was communicated (face-to-face, telephone, etc.).

400.6.3.3. Normally, the immediate supervisor will accomplish the interim review. To the extent practicable, if the immediate supervisor is unable to accomplish the interim review, he or she will provide meaningful input to the manager responsible for accomplishing the review.

400.6.4. Closeout Assessment. The closeout assessment is issued by the supervisor when the supervisor ceases to exercise duties relative to monitoring, developing, and rating performance of an employee due to job change, retirement, promotion, or similar event. Supervisors will complete a brief narrative description of employee performance for each job objective and associated contributing factors addressing the employee's accomplishments and contributions during the current appraisal period.

400.6.4.1. A supervisor will prepare a closeout assessment for an employee when it is known that the employee will change positions resulting in a new supervisor.

Additionally, a supervisor will prepare a closeout assessment, as needed, for employees on details or other previously occupied positions, as input for an employee's rating of record. (See Appendix A)

400.6.4.2. A closeout assessment is only required if an employee has been assigned to a specific supervisor and has been on an approved performance plan for more than 30 consecutive days. This is a minimum requirement, and Components may define additional requirements.

400.6.4.3. Closeout assessments will be accomplished in a timely manner and will be considered by the appropriate rating official when determining the recommended rating of record, share assignment, and payout distribution.

400.6.4.4. A closeout assessment for an employee that was prepared during the most recent appraisal period will be available for review by the following:

- (1) Employee;
- (2) Employee's immediate and higher level supervisors (or rating official, if different); and
- (3) Responsible pay pool panel and pay pool manager.

400.7. Developing Performance.

400.7.1. Employee Development. Developing performance is integrated with the performance management process. Along with meaningful performance-related discussions that assist the employee in reinforcing strengths and correcting weaknesses, employee development opportunities should be discussed.

400.7.2. Contributing factors may serve as the basis for assessing, and provide the framework for discussing, employee developmental needs.

400.7.3. Supervisors should discuss and encourage employees to seek professional and technical development opportunities to further enhance their contribution to the organization's mission and goals, as appropriate. Employee development opportunities may include classroom training, on-the-job training, mentoring, special assignments, details/reassignments, group performance meetings, process improvement teams, and self-development activities.

400.8. Performance Deficiencies.

400.8.1. Any time management determines an employee is failing to meet expectations, management must take steps to promptly address the employee's unacceptable performance.

400.8.2. Any time an employee is performing at an unacceptable level, including the proposed assignment of a Level 1 rating of record, timely and appropriate management

action is critical. An adverse action may be taken independent of the processes and/or procedures for appraising and rating performance under SC400.10 and pay pool procedures under SC400.11.

400.8.3. Determine and Clearly Define Unacceptable Performance. When addressing unacceptable performance, supervisors will identify and communicate to the employee the specific performance expectation(s) that require improvement.

400.8.3.1. Consideration of Circumstances. When determining what corrective action to take to address unacceptable performance, supervisors will take into account knowledge deficiency or other circumstances, including the nature and gravity of the unacceptable performance and its consequences.

400.8.4. Range of Options to Address Unacceptable Performance. Supervisors will address unacceptable performance with one or more remedial, corrective actions that address the problem. Supervisors should consider the broad range of options available to address unacceptable performance which includes, but is not limited to, the following:

- (1) Remedial training;
- (2) Improvement period;
- (3) Reassignment;
- (4) Oral or written warning;
- (5) Letter of counseling;
- (6) Written reprimand; and/or
- (7) Adverse action.

400.8.4.1. Although there is no requirement for the establishment of a formal performance improvement period before management may initiate an adverse action, supervisors should consider this intervention. Adverse action may be taken independent of the processes and/or procedures for appraising and rating performance under SC400.10. and pay pool procedures under SC400.11.

400.8.4.1.1. Standard of Proof and Procedures for Adverse Action. Adverse actions may only be taken for such cause as will promote the efficiency of the service. Adverse actions will be taken in accordance with the procedures provided in Subpart G of the NSPS regulation or other appropriate adverse action procedures for those organizations not covered by Subpart G – Adverse Action of reference (b), such as National Guard Technicians.

400.8.4.1.2. Reduction in Rate of Pay/Pay Band by Adverse Action. A reduction in an employee's rate of base salary and/or pay band can be initiated and made effective at any time through adverse action procedures based on a determination of unacceptable performance.

400.8.4.1.3. An adverse action can be taken to assign an employee to a position in a lower pay band and/or reduce an employee's rate of base salary. Pay setting resulting from such reductions will be determined in accordance with sections 9901.343, 9901.352, and 9901.354 of reference (b) and SC300. When an employee's base salary is reduced for unacceptable performance and/or conduct, the reduction in the employee's rate of pay may not be more than 10 percent unless a larger reduction is needed to place the employee at the maximum rate of the lower band. An employee's pay may not be reduced more than once in a 12-month period based on unacceptable performance, conduct, or both.

400.8.4.2. Impact of Misconduct on Performance. If an employee engages in work-related misconduct and the nature and severity of that misconduct have an impact on the execution of his or her duties, that of the team, and/or that of the organization, the impact may be reflected in the employee's rating of record. The impact of misconduct on the employee's rating of record will depend on its seriousness, negative effect on coworkers, customers, or mission, evidence of correction, and any other relevant factors.

400.8.4.2.1. The fact that misconduct may impact the employee's rating of record at the conclusion of the appraisal period should not be the basis for delaying corrective action.

400.9. End-of-Year Performance Assessments.

An integral part of the performance management process is the supervisory assessment of performance relative to job objectives, including the impact of selected contributing factors. This written assessment captures the employee's accomplishments during the appraisal period and informs the rating process. Assessing performance involves evaluating employee performance relative to communicated performance expectations, including job objectives and contributing factors, for the appraisal period.

400.9.1. Employee Self-Assessment. Employees are encouraged to provide a self-assessment for each job objective covering their performance and contributions to the organization for the current appraisal period. Employee self-assessments should describe accomplishments relative to performance expectations, including job objectives and associated contributing factors, organizational mission and goals, team goals, etc. The input will assist the rating official in evaluating more fully the employee's performance results.

400.9.2.1. To facilitate completion of this self-assessment, employees are encouraged to maintain a personal record of their accomplishments, achievements, and performance throughout the appraisal period.

400.9.3. Supervisory Assessment of Employees. The supervisor (or rating official, if different) must prepare a narrative assessment for each eligible employee. Supervisors will provide a narrative assessment addressing each job objective describing the employee's accomplishments and contributions to the organization relative to his or her

performance expectations, including an assessment of each job objective and associated contributing factors.

400.9.3.1. If the supervisor (or rating official, if different) has limited direct knowledge of the employee's performance, care should be taken to gather applicable facts (e.g., work products, closeout assessments, productivity metrics, customer feedback, etc.) to inform the recommended rating of record.

400.9.3.2 Any time after an employee has completed the minimum period and the supervisor-employee reporting relationship/assignment changes, the supervisor will provide a closeout assessment in accordance with the procedures in SC400.6.4. If such change occurs within 90 days of the end of the appraisal period, the supervisor will complete an early annual recommended rating of record in accordance with Appendix E – Early Annual and Special Purpose Ratings. Exceptions, as determined by the pay pool manager, may be allowed based on individual circumstances.

400.9.3.3 If an employee has not met the minimum period of performance by the end of the standard appraisal period, management has the discretion to extend the appraisal period. Such extensions will not affect the payout effective date.

400.10. Rating Methodology.

400.10.1. The method of assessing an employee's performance involves assigning a rating to the individual job objectives, adjusting this rating based on impact (if any) of the associated contributing factors, and averaging the adjusted ratings to arrive at the recommended rating of record. Each of these steps is outlined in SC400.10.

400.10.2. A rating of record may not be lowered based solely on an approved employee absence from work, including the absence of a disabled veteran to seek medical treatment.

400.10.3. Job Objectives. Each job objective is evaluated based on the employee's accomplishments relative to the employee's stated objectives and measures and the application of the appropriate performance indicators for the employee's pay band. A supervisor (or rating official, if different) will assign a job objective rating (1 to 5) to each job objective in accordance with the guidance in this subchapter, its appendices, and supporting Component policies.

400.10.3.1. Based on an employee's accomplishments on each job objective and using the performance indicators (see Appendix C – Performance Indicator), the supervisor will assign a job objective rating (a single numerical score from 1 to 5, expressed as a whole number) to each job objective. As performance indicators are not provided for Levels 1, 2, and 4, the supervisor will determine the job objective rating using the achievement of the job objectives, the performance indicators provided, and the job objective rating descriptors. (See Table 400.10.1.)

400.10.3.2. When rating job objectives, a supervisor must consider all applicable performance and conduct information, including, but not limited to, employee and closeout assessments that apply to the current appraisal period.

Table 400.10.1. Job Objective Rating Descriptors

JOB OBJECTIVE RATING	DESCRIPTORS
5	Employee exceeded the assigned job objective at a level of performance equal to, or above, the Level 5 performance indicator.
4	Employee exceeded the assigned job objective at a level of performance above the Level 3 indicator but below the Level 5 performance indicator.
3	Employee met the assigned job objective at a level of performance equal to the Level 3 indicator.
2	Employee met the assigned job objective at a level of performance below the Level 3 indicator level or needed guidance and assistance beyond that described in the Level 3 indicator.
1	Employee failed to achieve the assigned job objective or failed in the performance of a single assignment where such failure had a significant negative impact on accomplishment of the mission or where a single failure resulted in or could result in death, injury, breach of security, or great monetary loss.
NR	Employee did not have an opportunity to perform the job objective because it became obsolete or could not be accomplished due to extenuating circumstances.

400.10.3.3. The result of this process is recorded as the job objective rating. An objective rating of 1 on any individual job objective results in an overall Level 1 recommended rating of record.

400.10.4. Contributing Factors. The contributing factors are sets of work behaviors that are related to and impact the performance of a job objective. The contributing factors and their impact on the accomplishment of the job objective are evaluated using benchmark descriptors appropriate for the employee's pay schedule and pay band. (See Appendix B.) These benchmarks are described at the "Expected" performance and "Enhanced" performance levels for each contributing factor. Job objective ratings can be adjusted by 1 based on the supervisor's assessment of the contributing factors.

400.10.4.1. If a job objective is scored at Level 2, the contributing factors cannot be used to lower the job objective rating to a Level 1.

400.10.4.2. Each eligible employee's performance on a job objective will be assessed using the selected contributing factor(s) and the applicable benchmark descriptors. When

assessing the contributing factors, supervisors should consider the selected factors as a whole, or in the aggregate, as they apply to the job objective.

400.10.4.3. Contributing Factor Assessment. Job objective ratings may be adjusted only by a total of 1 point based on the assessment of the contributing factors. Based on the supervisor's overall assessment of the selected contributing factor(s), the supervisor will determine their influence on the associated job objective and indicate whether they increase the job objective rating by a factor of 1, decrease the rating by a factor of 1, or have no effect (0). The assessment of the contributing factors will be reflected in accordance with the information in Table 400.10.2.

TABLE 400.10.2. Contributing Factor Descriptors

CONTRIBUTING FACTOR IMPACT	DESCRIPTORS
+1	In the execution/accomplishment of the assigned job objective, the employee demonstrated a manner of performance matching or exceeding the description provided in the Enhanced benchmark descriptor(s).
0 (Neutral)	In the execution/accomplishment of the assigned job objective, the employee demonstrated a manner of performance matching or exceeding the description provided in the Expected benchmark descriptor(s) but below that described by the Enhanced benchmark descriptor(s).
-1	In the execution/accomplishment of the assigned job objective, the employee demonstrated a manner of performance below the description provided in the Expected benchmark descriptor(s).

400.10.4.4. Adjusted Rating. The combination of the job objective rating and the contributing factor assessment (expressed as +1, 0, or -1) results in an adjusted rating for each job objective. The adjusted ratings are averaged to obtain the overall average score. However, if a Level 1 has been assigned to any job objective, the overall recommended rating of record will be a Level 1 regardless of the adjusted rating on any other job objective.

400.10.4.4.1. If job objectives were weighted, the weights are applied to the adjusted rating. These weighted scores will be added together to obtain the overall average score. Again, however, if a Level 1 has been assigned to any job objective, the overall recommended rating of record will be a Level 1 regardless of the adjusted rating or weighting on any other job objective.

400.10.5. Recommended Rating of Record. The recommended rating of record will be the rounded average of the adjusted ratings. When the average is .51 or higher, the rating

is rounded up to the next higher whole number. When the average is .50 or lower, the rating is rounded down to the next lower whole number. Any objective rated as “NR” is not counted when averaging ratings.

400.10.5.1 The recommended rating of record is subject to higher level review.

400.10.6. Rating of Record.

400.10.6.1. The rating of record is communicated to employees in the form of a rounded score on a scale from 1 to 5 following the methodology outlined in this section. (See Table 400.10.3.)

Table 400.10.3. Converting Average Adjusted Rating to Rating of Record

AVERAGE RATING RANGE	RATING OF RECORD	RATING OF RECORD DESCRIPTOR
4.51 to 5.00	5	Role Model
3.51 to 4.50	4	Exceeds Expectations
2.51 to 3.50	3	Valued Performer
2.00 to 2.50	2	Fair
1 on any objective	1	Unacceptable

400.10.6.2. Upon completion of the pay pool process, the rating of record, share distribution, and payout allocation are communicated to the supervisor. The supervisor is then responsible for communicating this information to the employee. Because the rating of record is directly linked to pay and retention decisions (see SC600), it is of utmost importance that employees receive an appropriate, fair, unbiased rating that reflects their performance and contribution. Forced distribution of ratings (setting pre-established limits for the percentage or number of ratings that may be assigned) is not permitted.

400.10.7. **Special Purpose Rating of Record.** Subject to the procedures provided in Appendix E – Early Annual and Special Purpose Rating of Record, if the employee previously assigned a Level 1 rating of record improves his or her performance to an acceptable level (Levels 2 through 5) for a sustained period of time (not less than 90 days), the supervisor (or rating official, if different) will recommend an additional rating of record to reflect the new level of performance. The Special Purpose Rating of Record does not provide for any retroactive or prospective change in pay.

400.11. Pay Pool Policies and Procedures.

400.11.1. Pay Pool Composition. The membership of a pay pool is a group of employees who share in the distribution of a common pay-for-performance fund.

400.11.1.1 Criteria to distinguish pay pools may include, but are not limited to, organization structure, employee job function, location, and/or organization mission. Pay pools will be established considering business needs and merit system principles.

400.11.1.2. Sub-pay Pools. Where determined appropriate due to the size of the pay pool population, the complexity of the mission, or other similar criteria, sub-pay pool panels may be organized in a structure subordinate to the pay pool. Sub-pay pool panels normally operate under the same requirements and guidelines provided to the pay pools to which they belong.

400.11.2. Notice to Employees. To the extent that the information does not compromise the procedural neutrality or the confidentiality of participants (e.g., employees, raters, reviewers, etc.), the following information shall be made available to employees. Preferably within the first 90 days of the appraisal period but not less than 90 days prior to the end of the appraisal period, pay pool members (i.e., workforce covered by that pay pool) will be advised of:

- (1) Roles and responsibilities of the Performance Review Authority (PRA), the pay pool manager, and the pay pool panel;
- (2) Identity or membership of the PRA, the pay pool manager, and the pay pool panel;
- (3) Pay pool composition (organizations, functions, etc. that describe the makeup of the pay pool);
- (4) General pay pool policies; and
- (5) Factors that may be considered in making specific share assignments and allocations between base salary and bonus.

400.11.2.1. In addition to the items listed in section SC400.11.2, the estimated share value and notice that it is subject to change may be communicated to pay pool members.

400.11.2.2. Prior to the effective date of the payout, supervisors (or rating official, if different) will communicate to employees their approved rating of record, share assignment, and payout distribution.

400.11.2.3. Employees who are first hired into an NSPS covered position but who will not be rated because they will not have performed the minimum period of performance required under SC400.2.2. before the last day of the appraisal period will be advised that they are ineligible for the performance payout for the current appraisal period.

400.11.3. Pay Pool Panel Composition and Responsibilities. In addition to the pay pool manager, pay pool panel membership usually includes senior management officials of the organizations or functions represented. Final determinations of pay pool panel membership will be determined by the pay pool manager in accordance with DoD and Component policies.

400.11.3.1. The pay pool panel will review recommended ratings of record, share assignments, and/or payout distributions, and make adjustments, which in the panel's view would result in equity and consistency across the pay pool. If recommendations are changed by the panel, the new recommended ratings of record, share assignments, and/or

payout distributions should be communicated back to the rating official along with the rationale for the change(s). The rating official should then be afforded the opportunity to provide further justification before the change(s) become final.

400.11.4. Pay Pool Manager Responsibilities.

400.11.4.1. In addition to providing oversight of the pay pool panel, pay pool managers are responsible for ensuring that:

- (1) Supervisors and management officials tasked with recommending a rating of record, share assignment, and payout distribution for review at the pay pool panel have been adequately trained. (See Appendix D);
- (2) Pay pool funds are distributed in compliance with SC300 and DoD and Component financial management policies and based on employee performance and contributions;
- (3) Communication and notification requirements specified in this subchapter are completed in a timely manner;
- (4) Supervisors and rating officials comply with timely issuance of interim reviews, closeout assessments, and early recommended ratings of record;
- (5) Data requested by DoD is provided;
- (6) Procedures and policies are exercised in a consistent manner throughout the pay pool process;

400.11.4.2. The pay pool manager is also responsible for approving the ratings of record, share assignments, and payout distributions for employees in the pay pool. In addition, pay pool managers are responsible for making final decisions if the pay pool panel cannot agree on ratings of record, share assignments, and/or payout distributions.

400.11.5. PRA Responsibilities. The PRA will oversee the operation of pay pools established under NSPS and ensure procedural and funding consistency among pay pools under its authority. The PRA is tasked with the following:

- (1) Managing the civilian pay-for-performance budget and discretionary performance payout fund. (See SC300 Appendix C – Discretionary Performance Payouts);
- (2) Addressing issues associated with multiple pay systems during the conversion to NSPS;
- (3) Overseeing the composition of the pay pool in accordance with the established guidelines and statutory constraints;
- (4) Providing guidance to pay pool managers;
- (5) Issuing estimated share value(s) and adjusting if necessary (may be delegated to pay pool manager);
- (6) Managing the pay-for-performance reserve fund, if any;
- (7) Monitoring and adjusting pay pool fund distribution;
- (8) Overseeing publication of any Notices to Employees; and
- (9) Deciding challenges to ratings of record.

400.12. Challenging the Rating of Record.

400.12.1. This section establishes the DoD reconsideration process for ratings of record under NSPS. The administrative reconsideration process described herein is the sole and exclusive method for all non-bargaining unit employees to challenge their ratings of record. Bargaining unit employees may challenge a rating of record issued through either this administrative reconsideration process or under the terms of the negotiated grievance procedure (NGP), if applicable. Reconsideration decisions should be treated confidentially.

400.12.2. Alternative Dispute Resolution. Alternative dispute resolution may be pursued at any time during the reconsideration process consistent with Component policies and procedures.

400.12.3. Relationship to Compensation. In the event of a decision to adjust a rating of record, rate range adjustments, increases to local market supplement, and the payout amount and distribution should be reviewed for adjustment as appropriate. Any adjustment to salary will be retroactive to the effective dates of the original payout. (See SC400.12.15.) Decisions made through this process will not result in recalculation of the payout made to other employees in the pay pool.

400.12.4. Procedures for Administrative Reconsideration.

400.12.4.1. Within 10 calendar days of receipt of the rating of record, an employee seeking reconsideration of that rating must submit a request for reconsideration to the pay pool manager with a copy to the rating official and the servicing human resources office (HRO).

400.12.4.2. As long as the pay pool manager determines there is no conflict of interest, the employee may identify someone who has agreed to act as his/her representative to assist in pursuing the reconsideration request.

400.12.4.3. The request for reconsideration must be in writing and identify the employee's representative, if any, and may include a request for discussion with the pay pool manager. The request must include a copy of the rating being challenged, state what change is being requested and the basis for the change.

400.12.4.4. Exclusions. Employees cannot challenge the following:

- (1) A performance payout, number of performance shares assigned, value of performance shares, or distribution of payout between increase to base salary and bonus;
- (2) A recommended rating of record;
- (3) An interim review;
- (4) A closeout assessment; and
- (5) An individual objective rating or adjusted rating if the requested remedy will not result in the recalculation of the rating of record.

(6) Allegations that a performance rating was based on prohibited discrimination, such as race, color, religion, sex, national origin, age, physical or mental handicap, or reprisal may not be processed through the reconsideration process, but instead will be processed through the equal Employment Opportunity discrimination complaint procedure.

400.12.4.5. Failure to comply with these requirements may result in the pay pool manager issuing a written cancellation of the reconsideration request. A copy of the cancellation will be furnished to the servicing HRO the employee's rating official and the employee.

400.12.4.6. The rating official reviews a copy of the reconsideration request and prepares to address the employee's concerns with the pay pool manager.

400.12.4.7. The pay pool manager reviews the request and confers with the rating official and/or conducts further inquiry as deemed appropriate.

400.12.4.8 The employee may request an opportunity to personally address the pay pool manager and/or pay pool panel. The pay pool manager will decide whether such communication will be accomplished, as well as the date and time, location, and method of communication. To the extent practicable, such events will be held during the working hours of the employee.

400.12.4.9. Within 15 calendar days of the pay pool manager's receipt of the employee's request for reconsideration, the pay pool manager renders a written decision. The decision must include a brief explanation of the basis of the decision. A copy of the decision is provided to the servicing HRO, the rating official and the employee. The pay pool manager's decision is final, unless the employee seeks further reconsideration from the PRA.

400.12.4.10. If the employee is dissatisfied with the pay pool manager's decision, or if none is provided within the prescribed timeframes, the employee may submit a written request for final review by the PRA or PRA designee within 5 calendar days of receipt of the pay pool manager's decision or within 5 calendar days of the date the decision should have been rendered.

400.12.4.11. The PRA or PRA designee reviews the request and confers with the pay pool manager, or conducts further inquiry as deemed appropriate, before rendering a written decision to the employee within 15 calendar days of the receipt of the request (to the PRA) from the employee. The decision of the PRA or PRA designee is final. A copy of the decision will be provided to the servicing HRO, the pay pool manager, and the rating official.

400.12.4.12. The pay pool manager, PRA, or PRA designee may extend timeframes identified in SC400.12.4.1. and SC400.12.4.11. up to an additional 15 days with

notification to the employee. Extensions of timeframes in excess of 15 days may be authorized by mutual agreement between the employee and the pay pool manager.

400.12.4.13. If the final decision is to change the rating of record, the corrected appraisal will take the place of the former. A revised performance appraisal will be prepared and entered into all appropriate records, and a copy will be provided to the employee, the servicing HRO, and the rating official. The effective date will be retroactive to the date of the original rating determination.

400.12.4.14. When calculating time limits under the administrative reconsideration procedure, the day of an action or receipt of a document is not counted. The last day of the time limit is counted unless it is a Saturday, a Sunday, a legal holiday, or a day on which the employee is not regularly scheduled to work. In those cases, the last day of the time limit shall be moved to the next regularly scheduled work day. All time limits are counted in calendar days.

400.12.5. Procedures for Bargaining Unit Employees.

400.12.5.1. A bargaining unit employee may challenge a rating of record through the procedure described in SC400.12.4. or through a negotiated grievance procedure in accordance with section 9901.922(h) of reference (b), but not both, so long as the rating of record has not been raised in connection with an appeal under the provisions of section . 7701 of reference (d) or subpart H of reference (b), section 9901.409(h) of reference (b). Once an employee raises a rating of record issue in an appeal under section. 7701 of reference (d) or subpart H of reference (b) (or other appropriate process and regulations for employees not covered by subpart H of reference (b)) any pending grievance, arbitration, or request for administrative reconsideration under section 9901.409(h) of reference (b) will be dismissed with prejudice.

400.12.5.2. If the final decision in a grievance filed under a negotiated grievance process is to change the rating of record, a revised performance appraisal will be prepared and entered into all appropriate records, and a copy will be provided to the employee, the servicing HRO, and the rating official. The effective date will be retroactive to the date of the original rating determination.

Appendix A – Performance Assessments and Pay Adjustments for Specially Situated Employees

Employees who are absent from civilian service to perform in the uniformed services in accordance with 38 U.S.C. 4303 and 5 CFR 353.102 and who are eligible for a rating for the current appraisal period. Eligible employees (those who have met the minimum performance period requirement, see SC400.2.2.) who are performing qualifying uniformed service at the close of the appraisal period will participate in the rating and pay adjustment determination process under the requirements of this subchapter and SC 300 of reference (c). The rating of record will be based on the performance and contributions made by the employee while in his or her civilian capacity and performing under an approved NSPS performance plan. NSPS performance management procedures described in this subchapter will be observed to the extent practicable. Subject to pay pool policies and procedures, the employee will receive a final rating of record and pay adjustment determination consisting of the appropriate increase in base salary and/or bonus.

Employees who are absent from civilian service to perform in the uniformed services in accordance with 38 U.S.C. 4303 and 5 CFR 353.102 and who have not completed the NSPS minimum period in the current appraisal period. For appraisal periods during which the employee did not complete the minimum period, performance pay adjustments will be based on either the employee's last NSPS rating of record or the modal rating received by other employees covered by the same pay pool and pay band for the most recently completed appraisal period, whichever is most advantageous to the employee. If the employee had no rating of record at the time he or she left civilian service, the modal rating for the pay pool will serve as the basis for performance pay decisions. If there is more than one modal rating, the highest one will be used.

If using the employee's last rating of record is most advantageous, the employee's base salary rate will be adjusted using the average base salary rate adjustment received by employees assigned the same rating of record in the same pay pool and pay band. If using a modal rating, the base salary rate will be set prospectively using the average base salary adjustment received by employees who received the modal rating assigned under this rule. There is no entitlement to retroactive payments for base salary adjustments or bonuses.

Such employees also will be credited with intervening rate range adjustments in accordance with SC300 of reference (c) NSPS performance management procedures described in this subchapter and SC300 of reference (c) will be observed to the extent practicable.

Employees who are absent at the end of the appraisal period due to a work-related injury and who are eligible for a payout. Eligible employees who are still on agency rolls at the end of the appraisal period but who are absent due to a work-related injury will be rated based on the work performed during the appraisal period, provided they

have satisfied the minimum performance period. The performance management procedures described in this subchapter chapter and SC300 of reference (c) will be observed to the extent practicable. Subject to pay pool panel reconciliation and pay pool policies and procedures, the employee will receive a final rating of record and pay adjustment determination consisting of the appropriate increase in base salary and/or bonus.

Eligible employees returning to duty after being in workers' compensation status for one or more appraisal periods. If the employee was in receipt of workers' compensation benefits under 5 U.S.C Chapter 81 (including continuation of pay under section 8118 and wage loss benefits under section 8105) for the entire appraisal period and/or did not complete the NSPS minimum period, he or she will not be eligible to receive a performance payout, although such employee is eligible for a prospective pay adjustment once they resume employment. Base salary will be set prospectively for an employee who returns to duty after a period of receiving injury compensation under 5 U.S.C. chapter 81, subchapter I (in a leave-without-pay status or as a separated employee). There is no entitlement to retroactive payments for base salary adjustments or bonuses.

Performance pay adjustments will be based on either the employee's last NSPS rating of record or the modal rating received by other employees covered by the same pay pool and pay band during the most recently completed appraisal period, whichever is most advantageous to the employee. If the employee had no rating at the time he or she left civilian service, the modal rating for the pay pool will serve as the basis for performance pay decisions. If there is more than one modal rating, the highest one will be used.

If using the employee's last rating of record is most advantageous, the employee's base salary rate will be adjusted using the average base salary rate adjustment received by employees assigned the same rating of record in the same pay pool and band. If using a modal rating, the base salary rate will be set prospectively using the average base salary adjustment received by employees who received the modal rating assigned under this rule. There is no entitlement to retroactive payments for base salary adjustments or bonuses.

Such employees also will be credited with intervening rate range adjustments in accordance with SC300.4.1.3. NSPS performance management procedures described in SC400 will be observed to the extent practicable.

Employees on detail or temporarily promoted. Policies established for setting and communicating performance expectations as described in SC400 will be applied to the extent practicable. Generally, an employee on a short-term detail or temporary promotion during the appraisal will be assigned a recommended rating of record by the supervisor/rater of the permanent position. The employee, temporary (gaining) supervisor and supervisor of the permanent position will jointly review the necessity to adjust previously assigned job objectives. The supervisor of the permanent position has

final authority to determine and document the appropriate job objectives. Both supervisors will cooperate to ensure that the employee is provided meaningful feedback during the temporary assignment and is issued at least one formal interim review. The temporary supervisor will complete a closeout assessment for employees who have been assigned to them for at least 30 days. In the case of long term details or temporary promotions it may be more appropriate for the temporary (gaining) supervisor to recommend the rating of record, share assignment and payout distribution for reconciliation by the appropriate pay pool panel.

To the extent practicable the rater and pay pool panel will consider the closeout assessment provided by the supervisor of the temporary position for rating and payout recommendations. For calculation purposes the same proportional salary increase (if any) will adjust the salary of the permanent position and the salary of the temporary position, if different than the permanent (e.g. if the employee's salary was increased due to a temporary promotion or reassignment).

Employees who have not performed for the minimum period due to administrative error.. Employees who would have been eligible for a rating of record under this subchapter but for an administrative error will be provided an extension to the appraisal period. The rating and payout procedures will be consistent with the requirements of this subchapter and SC300 to the maximum extent feasible. Such extension may not delay the effective date of the payout for either the individual employee or the pay pool.

Employees performing union activities. Employees performing union-related activities ("official time") are subject to the policies prescribed in this subchapter provided that such employees perform agency duties under established NSPS performance expectations for the minimum period as defined at SC400.2.2. Periods of time when the employee is performing union-related business (e.g. official time) do not count toward the minimum period. Employees engaged in union-related activities (100% official time) such that they do not meet the condition above are not ratable based on their individual performance. Performance pay adjustments for such employees will be based on either the employee's last NSPS rating of record or the modal rating received by other employees covered by the same pay pool and pay band during the most recently completed appraisal period, whichever is most advantageous to the employee. If the employee has no NSPS rating of record, the modal rating for the pay pool will serve as the basis for performance pay decisions. If there is more than one modal rating, the highest one will be used.

If using the employee's last NSPS rating of record is most advantageous, the employee's base salary rate will be adjusted using the average base salary rate adjustment received by employees assigned the same rating of record in the same pay pool and pay band. If using a modal rating the base salary rate will be adjusted using the average base salary adjustment received by employees who received the modal rating assigned under this rule.

Furthermore, such employees will be credited with rate range adjustments in accordance with SC300.4.1.3. NSPS performance management procedures described in SC400 will be observed to the extent practicable.

Employees who change jobs between the last day of the appraisal period and before the effective date of the payout. Employees who are eligible for a performance rating, and change jobs so that they fall under the authority of a different PRA will be evaluated by and assigned a rating of record by the rating official, pay pool panel and pay pool manager of record on the last day (normally September 30) of the appraisal period. This rating will be the basis for the payout. The payout will be calculated and paid based on the pay pool funding and share valuation of the gaining pay pool.

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Appendix B
Contributing Factors
See Separate Attachments

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Appendix C
Performance Indicators
See Separate Attachments

Appendix D – Rating Official Qualification

Qualified Rating Official. Only management officials, will be permitted to recommend a rating of record for NSPS payout purposes to the pay pool for consideration. Pay pool managers will authorize in writing that each rating official meets identified standards, with a copy provided to the rating official and servicing human resource office. Normally, the immediate supervisor issues the recommended rating of record. If the immediate supervisor is not qualified to render a recommended rating, the responsibility will be assigned to a management official who has been authorized by the pay pool manager.

To maintain rating official qualification status, rating officials are, at a minimum, required to:

- Link employees' job objectives to the organization's mission and goal(s);
- Make meaningful distinctions in performance levels as appropriate and appraise employees realistically;
- Document job objectives and associated contributing factors for their employees; Conduct interim reviews with their employees;
- Adequately deal with employees' performance deficiencies in a timely manner;
- Be prepared to discuss employees' performance and contributions at a pay pool review.

Appendix E – Early Annual and Special Purpose Ratings of Record

Early Annual Recommended Rating of Record. An early recommended rating of record will be issued when: (1) the supervisor (or rating official, if different) ceases to exercise the duties relative to monitoring, developing, and rating employee performance within 90 days before the end of the appraisal period or (2) the employee is reassigned, promoted, or demoted within NSPS resulting in the assignment of a new rating official within 90 days before the end of the appraisal period. The pay pool manager may allow exceptions to this policy based on individual circumstances.

In these situations, the departing or "losing" supervisor (or rating official, if different) will assess employee performance and contribution in accordance with SC400 and will recommend a rating of record, number of shares, and payout distribution. This recommendation will go to the pay pool panel to which the employee is assigned at the close of the appraisal period for reconciliation. The "new" supervisor (or rating official, if different) may add comments to the record in support of, or in disagreement with, the recommended rating of record for consideration by the pay pool panel.

The period of time between the date of the event that triggered the Early Annual Recommended Rating of Record and the normal end of the rating cycle will be carried forward into the next appraisal period. For instance, an employee is promoted 60 days before the end of regular appraisal period. The supervisor will prepare an early recommended rating of record as of that date which when reviewed reconciled and approved by the pay pool panel will be the employee's rating of record. The 60 days that were not covered or rated by the early recommended rating of record will be appended to the new performance year, making it 14 months in length, and will be assessed and rated at the normal end of the new appraisal period.

Special Purpose Rating of Record. The special purpose rating may only be applied in the case of an employee with a Level 1 rating of record who exhibits significant and sustained improvement (not less than 90 days) in his or her performance that equates to Level 2 performance or higher. A special purpose rating of record may be assigned during the appraisal period in addition to the regularly completed rating of record.

The assignment of a special purpose rating of record has no impact on pay, retroactive or prospective. To the extent practicable, special purpose ratings, like end-of-year ratings, are subject to the same pay pool panel process as are end-of-year ratings. A consistent approach in performance assessment and employee ratings is critical to the credibility and transparency of the pay-for-performance system. At a minimum, the pay pool panel must be convened and consider the appropriateness and validity of the special purpose rating.

CONTRIBUTING FACTORS (Professional/Analytic Pay Schedules)**Technical Proficiency****Work Behaviors**

Demonstrates and applies relevant and appropriate knowledge and skills to perform work activities.
 Stays up-to-date in professional/technical specialties.
 Acquires, develops, and maintains relevant and appropriate job skills through training or other developmental activities.
 Uses appropriate and available technology or tools to perform work activities.
 Demonstrates an understanding of the organization's mission, functions, values, and applicable policies and procedures.
 Develops and maintains an awareness of internal/external factors affecting the organization or specific work assignments.

Band 1**Expected**

With supervision, applies basic knowledge and skills (including use of appropriate technology or tools) to perform straightforward or well-defined work activities.
 As directed, acquires, develops, and maintains relevant job skills through a variety of methods.
 Stays up-to-date in professional/technical specialties and applies this knowledge to improve own performance.
 Demonstrates a basic understanding of how one's own work relates to the organization's mission, functions, values, applicable policies and procedures, and internal and external factors that affect the work unit; seeks opportunities to use this knowledge constructively when completing own assignments.

Enhanced**Additions at the Enhanced level:**

Applies knowledge to perform more advanced tasks with minimal supervision.
 Seeks feedback on own performance and takes initiative to improve technical knowledge and skills through a variety of self-directed development activities, resulting in an increased ability to contribute to the mission.
 Demonstrates a working understanding of how internal and external factors affect organizations and units outside of one's own and effectively uses this knowledge to complete tasks.

Band 2**Expected**

Applies substantive knowledge and skills (including use of appropriate technology or tools) to independently perform a full range of assignments, including moderately complex work activities; seeks occasional guidance as appropriate.
 Acquires, develops, and maintains relevant job skills through a variety of methods.
 Stays up-to-date in professional/technical specialties and applies this knowledge to improve own performance and contribute to work unit performance.
 Demonstrates a thorough understanding of the organization's mission, functions, values, applicable policies and procedures, and internal and external factors that affect the organization; seeks out opportunities to use this knowledge constructively to contribute to organizational objectives and priorities.

Enhanced**Additions at the Enhanced level:**

Applies depth and breadth of knowledge to independently perform well on the most complex or varied assignments at this level.
 Takes initiative to improve technical knowledge and skills through a variety of self-directed development activities, resulting in an increased ability to contribute to the mission.
 Is frequently consulted by others because of depth and/or breadth of understanding of the organization and the internal and external factors that affect it; seeks out and capitalizes on opportunities to use this knowledge to contribute to organizational goals and outcomes.

Band 3**Expected**

Applies expert-level knowledge and skills (including use of appropriate technology or tools) to perform a wide range of highly complex work activities.
 Maintains technical expertise by keeping up-to-date with the latest developments in professional/technical specialties.
 Applies expert-level knowledge to improve own and organizational performance.
 Demonstrates an extensive understanding of the organization's mission, functions, values, applicable policies and procedures, and internal and external factors that impact programs that extend across components or throughout a component/command or an equivalent organization; seeks out and capitalizes on opportunities to use this knowledge to help the organization accomplish its mission and move toward its long-term vision.

Enhanced**Additions at the Enhanced level:**

Is frequently consulted for depth and/or breadth of expertise to handle the most complex and difficult assignments at this level.
 Continually strives to broaden and enhance expertise, resulting in contributions that significantly advance key organizational goals and objectives.
 Is widely recognized for his or her expertise regarding organizational systems and internal and external factors impacting programs that extend across components or throughout a component/command or an equivalent organization; seeks out and capitalizes on opportunities to leverage this knowledge to make contributions with far-ranging impact.

CONTRIBUTING FACTORS (Professional/Analytic Pay Schedules)

Critical Thinking

Work Behaviors

Recognizes issues, problems, opportunities, or emerging trends.
Collects information or data that is necessary and appropriate for identifying or addressing issues and problems.
Analyzes and integrates relevant information or data to draw sound conclusions.
Identifies and evaluates alternative solutions to problems or issues.
Makes sound and timely decisions or recommendations.
Identifies and utilizes innovative or creative methods to accomplish work.

Band 1

Expected

With guidance, recognizes obvious issues or problems and collects information from routine sources for a basic understanding of straightforward or well-defined issues.
With guidance, analyzes and integrates basic data to identify clear patterns or trends and to draw reasonable, logical conclusions.
With guidance, solves straightforward or well-defined problems; makes timely and logical decisions in well-defined, low-risk situations affecting own work.
With guidance, modifies procedures for accomplishing assignments when it becomes clear that the original approach will not work.

Enhanced

Additions at the Enhanced level:

Additions at the Enhanced level: Independently recognizes issues or problems and identifies patterns and trends.
When collecting data, takes initiative to identify additional sources of information for a more comprehensive understanding.
Makes recommendations for solving problems beyond immediate scope of responsibility.
Anticipates when an approach may not work in accomplishing own assignments and takes initiative to suggest alternatives.

Band 2

Expected

Identifies information necessary to define and understand complex issues; collects necessary information.
Efficiently and effectively analyzes and integrates complex data to identify emerging patterns or trends and draw reasonable, logical conclusions.
Identifies and evaluates alternative solutions to complex problems or issues that affect own or others' work.
Makes timely and logical recommendations or decisions in a variety of complex situations that affect the work unit; seeks supervisory assistance for unusual situations.
Reviews current work processes, and identifies innovative or creative ways to improve efficiency or effectiveness.

Enhanced

Additions at the Enhanced level:

Rapidly and correctly identifies key issues or problems and assesses their significance.
Displays persistence in tracking down hard-to-obtain information.
Makes effective recommendations for solving problems beyond immediate scope of responsibility.
Makes timely and logical recommendations or decisions when circumstances are ambiguous or complete information is not available.
Evaluates the impact of external events on current processes and uses this information to develop appropriate alternatives.

Band 3

Expected

Identifies information necessary to define and understand a variety of highly complex or high-visibility issues and place them in a larger context; collects necessary information.
Efficiently and effectively analyzes and integrates highly complex data, determining connections between pieces of data to detect emerging patterns, trends, or opportunities for action; draws reasonable, logical conclusions from data.
Identifies and evaluates creative and insightful solutions to highly complex or visible problems/issues.
Makes timely and logical recommendations or decisions in highly complex, difficult, high pressure, and/or ill-defined situations that have significant or far-reaching impact.
Develops innovative or creative solutions in response to new and emerging issues.

Enhanced

Additions at the Enhanced level:

Identifies significant connections between pieces of data to draw innovative conclusions.
Focuses on the most critical information needed to define and understand issues.
Displays persistence in tracking down hard-to-obtain information.
Takes the initiative to resolve problems of particular difficulty, sensitivity, or strategic importance in order to maximize contributions to the organization.
Makes effective recommendations or decisions in situations where there is a high degree of uncertainty about the outcome.
Improves efficiency and effectiveness of work processes; anticipates how work processes may be affected by changes in the environment and develops creative and highly effective alternatives.

CONTRIBUTING FACTORS (Professional/Analytic Pay Schedules)

Cooperation and Teamwork

Work Behaviors

Develops and maintains effective working relationships with others.
Respects and values individual differences and diversity by treating everyone fairly and professionally.
Contributes to organizational or institutional knowledge by sharing information with others.
Contributes to a positive team atmosphere that fosters cooperation, trust, and group identity.
Collaborates effectively with others to resolve disagreements or conflicts in a positive and constructive manner.

Band 1

Expected

Works collaboratively and flexibly to accomplish shared goals.
Treats everyone fairly and professionally, respecting and valuing individual differences and diversity.
Shares relevant knowledge and information with others within the work unit.
Contributes to a positive team atmosphere that fosters cooperation, trust, and group identity.
With guidance, handles minor work-related disagreements or conflicts in a positive and constructive manner.

Enhanced

Additions at the Enhanced level:

Builds effective partnerships within units that contribute to a team environment.
Takes initiative to provide assistance to others.
Seeks out opportunities to share knowledge and skills with others.
Independently handles minor work-related disagreements or conflicts in a positive and constructive manner; develops options to resolve disagreements or conflicts that require resolution at a higher level.

Band 2

Expected

Contributes to achieving work unit goals by working collaboratively and flexibly with others and building effective partnerships across units.
Treats everyone fairly and professionally, respecting and valuing individual differences and diversity.
Shares relevant knowledge and information with others.
Contributes to a positive team atmosphere that fosters cooperation, trust, and group identity.
Handles challenging work-related disagreements or conflicts and resolves them in a positive and constructive manner; develops options to resolve disagreements or conflicts that require resolution at a higher level.

Enhanced

Additions at the Enhanced level:

Contributes to achieving organizational objectives by building effective partnerships across organizations.
Takes initiative to make extra contributions to work unit efforts; recognizes when others need assistance and provides support to advance unit goals.
Fosters a climate of trust by demonstrating respect for and value of individual differences and diversity.
Seeks out opportunities to share relevant knowledge and skills with others.
Develops formal knowledge sharing systems (e.g., work aids, technical papers, etc.).
Anticipates and strives to mitigate potential conflicts or disagreements.

Band 3

Expected

Contributes to achieving organizational objectives by modeling collaboration and flexibility and building effective partnerships internal and external to the organization.
Treats everyone fairly and professionally, respecting and valuing individual differences and diversity.
Seeks out opportunities to share relevant knowledge and skills with others.
Contributes to a positive team atmosphere that fosters cooperation, trust, and group identity.
Anticipates, strives to mitigate, and effectively handles complex or sensitive work-related disagreements or conflicts and resolves them in a positive and constructive manner; as needed, develops options to resolve disagreements or conflicts that require resolution at a higher level.

Enhanced

Additions at the Enhanced level:

Takes initiative to make extra contributions to cross-organizational efforts; recognizes when others need assistance and provides support to advance organizational goals.
Champions respect for and value of individual differences and diversity, fostering a climate that reinforces these values.
Actively works to ensure the continuous transfer of knowledge and skills across organizations by serving as a technical resource or initiating and overseeing the development of formal knowledge sharing systems (e.g., work aids, technical papers, etc.).

CONTRIBUTING FACTORS (Professional/Analytic Pay Schedules)

Communication

Work Behaviors

Actively listens and appropriately responds to the questions, ideas, and concerns of others.
Writes in an accurate, clear, concise, well-organized, and timely manner.
Orally communicates in an accurate, clear, concise, well-organized, and timely manner.
Tailors communication (e.g., language, tone, level of specificity) to the audience's level of understanding and to the communication medium.

Band 1

Expected

Actively listens and appropriately responds to questions and concerns from others; shows respect for others' ideas, comments, and questions.
With guidance, communicates routine information in an accurate, clear, concise, well-organized, and timely manner; written communications may require some revisions.
With guidance, effectively adjusts communications to the audience's level of understanding.

Enhanced

Additions at the Enhanced level:

Prepares and delivers communications with minimal guidance; written communications require fewer revisions than would ordinarily be expected at this level.
With minimal guidance, tailors communications to meet the audience's needs.

Band 2

Expected

Seeks and actively listens to others' questions, ideas, and concerns; shows respect for and carefully considers diverse viewpoints and crafts clear and organized responses, following up to ensure understanding.
Communicates moderately complex information, concepts, and ideas in an accurate, clear, concise, comprehensive, well-organized, and timely manner; written communications typically require minimal revisions.
Tailors communication style (e.g., language, tone, and format) and customizes communications to meet the audience's needs and level of understanding.

Enhanced

Additions at the Enhanced level:

Adeptly reads interpersonal interactions and nonverbal cues and adjusts own behavior to more effectively communicate with others.
Prepares and delivers communications that are of exceptional technical quality as recognized by peers, supervisors, and/or customers.
Communicates complex information, concepts, and ideas to a range of audiences in a manner that facilitates their understanding.

Band 3

Expected

Seeks and actively listens to others' questions, ideas, and concerns; shows respect for and carefully considers diverse viewpoints and crafts clear and organized responses, following up to ensure understanding.
Communicates complex information, concepts, and ideas to a wide range of audiences in an accurate, clear, concise, comprehensive, well-organized, and timely manner; written communications are generally accepted without changes.
Tailors style and materials to communicate information effectively to different levels of audiences, properly emphasizing critical issues.

Enhanced

Additions at the Enhanced level:

Adeptly reads complex interpersonal interactions and nonverbal cues and adjusts own behavior to communicate more effectively with others.
Prepares and delivers communications that are of exceptional technical quality as recognized by peers, supervisors, and/or customers.
Uses a variety of techniques to communicate highly complex information, concepts, and ideas to a range of audiences in a manner that facilitates their understanding and acceptance of the information.

CONTRIBUTING FACTORS (Professional/Analytic Pay Schedules)

Customer Focus

Work Behaviors

Effectively identifies and assesses customer requirements.
Effectively manages customer expectations and addresses questions and concerns.
Provides timely, flexible, and responsive service to customers.

Band 1

Expected

As directed, interacts effectively with customers to understand their needs and address questions and concerns.
Keeps supervisor informed of progress and issues associated with the delivery of customer products and/or services.
With guidance, provides timely, flexible, and responsive products and/or services to customers.

Enhanced

Additions at the Enhanced level:

Takes initiative to learn about and engage with customers to better understand their needs, resulting in a higher quality of products and/or services; makes recommendations to improve customer products and/or services.
Recognizes potential issues or inconsistencies in customer requests and recommends solutions.

Band 2

Expected

Maintains regular contact with customers to gather information about their requirements and needs and delivers timely, flexible, and responsive products and/or services to meet those needs.
Discusses expectations with customers to ensure mutual understanding and acceptance; keeps customers and relevant others informed of progress, issues, and/or problems that could impede progress and suggests workable solutions.
Responds to questions or requests from customers in a timely manner.

Enhanced

Additions at the Enhanced level:

Develops innovative and useful suggestions for designing and adapting customer-focused products and/or services.
Correctly anticipates customer needs and resolves or avoids potential problems, resulting in improved overall customer satisfaction.

Band 3

Expected

Proactively communicates with customers to help define their needs and obtain feedback; strives to continually enhance products and/or services.
Works with customers to set mutually acceptable expectations (e.g., timelines and deliverables); informs customers or relevant others of progress, changes, issues, or problems that could affect progress and develops effective solutions to address them.
Provides timely, flexible, innovative, and responsive products and/or services to customers, resulting in high overall customer satisfaction.

Enhanced

Additions at the Enhanced level:

Develops innovative and useful approaches for improving or expanding products and/or services, resulting in highly valued services that improve overall customer satisfaction.
Takes initiative to anticipate and implement effective solutions to prevent problems, thus avoiding gaps in customer expectations.

CONTRIBUTING FACTORS (Professional/Analytic Pay Schedules)

Resource Management

Work Behaviors

Maintains an awareness of available resources and the process for acquiring needed resources.
Identifies and advocates for resources required to accomplish work activities or projects.
Makes effective and efficient use of available resources.
Safeguards available resources to prevent fraud, waste, and abuse.
Promotes workplace safety and security.

Band 1

Expected

Demonstrates a basic knowledge of available resources and the process for acquiring the resources needed to accomplish own work.
With guidance, requests basic resources needed to perform own work; uses resources in an efficient manner that safeguards against fraud, waste, and abuse.
Properly follows all workplace safety and security procedures.

Enhanced

Additions at the Enhanced level:

Takes initiative to learn as much as possible about available resources and the process for acquiring them.
Makes meaningful suggestions for increasing efficiency in the use of resources.

Band 2

Expected

Demonstrates knowledge of the resources available to the work unit and the processes to acquire them; identifies and advocates for resources necessary to support and contribute to mission requirements.
Uses resources in an efficient and effective manner that safeguards against fraud, waste, and abuse.
Promotes workplace safety and security by demonstrating correct behaviors.

Enhanced

Additions at the Enhanced level:

Anticipates changes in workload requirements and advocates for resources well in advance of when they are needed.
Takes initiative to contribute to resource planning efforts.
Actively assists others in using resources more efficiently:
Suggests flexible and innovative approaches to stretch limited resources.

Band 3

Expected

Demonstrates broad knowledge of the resources available to the organization and the processes to acquire them; identifies and effectively advocates for the resources necessary to support and contribute to mission requirements; actively contributes to resource planning efforts and competently defends resource requirements.
Uses resources in an efficient and effective manner that safeguards against fraud, waste, and abuse.
Promotes workplace safety and security by modeling correct behaviors.

Enhanced

Additions at the Enhanced level:

Anticipates changes in workload requirements and advocates for resources well in advance of when they are needed.
Balances competing resource requirements to ensure alignment with mission objectives.
Identifies alternative resources and actively assists others in using resources more efficiently.
Devises and implements flexible and innovative approaches to stretch limited resources, resulting in greater contributions to the organization.

CONTRIBUTING FACTORS (All Supervisors and Selected Employees in the Professional/Analytic and Technician/Support Pay Schedules)	
Leadership	
Work Behaviors	
Seeks out and capitalizes on opportunities to help the organization accomplish its mission and objectives and move toward its long-term vision. Communicates a vision for work unit, translating broad organizational goals into concrete objectives, plans, priorities, and assignments. Effectively assigns, coordinates, and monitors the work of others. Provides timely and constructive feedback (formal or informal) to others. Develops others through motivation, mentoring, and coaching. Fosters an environment that facilitates a high performing workforce and models a high standard of performance for others	
Band 1 (Band 2 for Technical Support Pay Schedule)	
Expected Translates project or work unit goals into concrete work assignments for staff; effectively communicates goals and expectations and follows up to ensure tasks are completed efficiently and effectively. Appropriately considers strengths and developmental needs of subordinates in assigning work. Provides timely and constructive feedback to staff, encouraging and soliciting employee input as appropriate, to improve work products and/or services and develop their skills. Develops others through motivation, mentoring, coaching, and instruction. Creates an environment that facilitates a high performing work unit and demonstrates a high standard of performance and ethical behavior.	
Enhanced Additions at the Enhanced level: Effectively seeks out and capitalizes on opportunities for the work unit to achieve significant results that support work unit goals. Helps staff to develop new skills and competencies by encouraging them to attempt more difficult tasks and try new approaches.	
Band 2 (Band 3 for Technical Support Pay Schedule)	
Expected Translates work unit goals into concrete work assignments and objectives for staff; effectively communicates goals and expectations and follows up to ensure tasks are completed efficiently and effectively. Appropriately considers strengths and developmental needs of subordinates in assigning work. Provides timely and constructive feedback to staff, encouraging and soliciting employee input as appropriate, to improve work products and/or services and develop their skills. Develops others through motivation, mentoring, coaching, and instruction. Creates an environment that facilitates a high performing work unit and demonstrates a high standard of performance and ethical behavior.	
Enhanced Additions at the Enhanced level: Effectively seeks out and capitalizes on opportunities for the work unit to achieve significant results that support organizational goals. Helps staff to identify their own developmental needs and provides challenging assignments to address those needs.	
Band 3 (Band 4 for Technical Support Pay Schedule)	
Expected Effectively formulates short- and long-term strategies across units that take a broad view and achieve significant results in support of the organization's goals and long-term vision. Translates broad organizational goals into objectives and assignments and helps unit leaders determine how to execute them efficiently and effectively. Appropriately considers strengths and developmental needs of subordinates in assigning work. Provides timely and constructive feedback to staff, encouraging and soliciting employee input as appropriate, to improve work products and/or services and develop their skills. Develops others through motivation, mentoring, coaching, and instruction. Creates an environment that facilitates a high performing work unit and demonstrates a high standard of performance and ethical behavior.	
Enhanced Additions at the Enhanced level: Anticipates new or changing demands and plans effectively for the future by developing strategies for units to meet organizational goals. Identifies feedback measures that provide information for assessing priorities and advancing organizational goals. Influences subordinates to pursue developmental opportunities and provides support for those opportunities.	

CONTRIBUTING FACTORS (Supervisory Pay Schedule)**Technical Proficiency****Work Behaviors**

Demonstrates and applies relevant and appropriate knowledge and skills to perform work activities.
 Stays up-to-date in professional/technical specialties.
 Acquires, develops, and maintains relevant and appropriate job skills through training or other developmental activities.
 Uses appropriate and available technology or tools to perform work activities.
 Demonstrates an understanding of the organization's mission, functions, values, and applicable policies and procedures.
 Develops and maintains an awareness of internal/external factors affecting the organization or specific work assignments.

Band 1**Expected**

Applies substantive knowledge and skills (including use of appropriate technology or tools) to oversee a full range of assignments; seeks occasional guidance from more senior supervisors as appropriate.
 Acquires, develops, and maintains relevant skills through a variety of methods; stays up-to-date in relevant disciplines and applies this knowledge to improve own and work unit performance.
 Demonstrates an understanding of the organization's mission, functions, values, applicable policies and procedures, and internal and external factors that may affect the work unit; seeks out opportunities to use this knowledge constructively to contribute to organizational objectives and priorities.

Enhanced**Additions at the Enhanced level:**

Applies depth and breadth of knowledge to independently oversee complex or varied assignments at this level.
 Takes initiative to improve knowledge and skills through a variety of self-directed development activities, resulting in an increased ability to contribute to the mission.
 Is frequently sought out by others because of depth and/or breadth of understanding of the organization and the internal and external factors that affect the work unit; seeks out and capitalizes on opportunities to use this knowledge to contribute to organizational goals and outcomes.

Band 2**Expected**

Applies advanced-level knowledge and skills (including use of appropriate technology or tools) to manage a wide range of work activities; consults with experts as appropriate.
 Acquires, develops, and maintains relevant skills through a variety of methods; stays up-to-date in relevant disciplines and applies this knowledge to improve own and work unit performance.
 Demonstrates a thorough understanding of the organization's mission, functions, values, applicable policies and procedures, and the internal and external factors that may affect the organization; seeks out opportunities to use this knowledge constructively to contribute to organizational objectives and priorities.

Enhanced**Additions at the Enhanced level:**

Applies depth and breadth of knowledge to independently manage the most complex or varied assignments at this level.
 Takes initiative to acquire, develop, and maintain relevant skills through a variety of self-directed development activities, resulting in an increased ability to contribute to the mission.
 Is frequently consulted by others because of depth and/or breadth of understanding of organizational systems and the internal and external factors that affect it; seeks out and capitalizes on opportunities to use this knowledge to make contributions that have an impact beyond the work unit.

Band 3**Expected**

Applies expert-level knowledge and skills (including use of appropriate technology or tools) to manage a wide range of work activities.
 Acquires, develops, and maintains expertise by staying up-to-date with the latest developments in relevant disciplines and applies this knowledge to improve own and organizational performance.
 Demonstrates an extensive understanding of the organization's mission, functions, values, applicable policies and procedures, and internal and external factors that may impact programs that extend across components or throughout a component/command or an equivalent organization; seeks out and capitalizes on opportunities to use this knowledge to help the organization accomplish its mission and move toward its long-term vision.

Enhanced**Additions at the Enhanced level:**

Is consistently sought out to manage the most complex and difficult assignments.
 Continually strives to broaden and enhance expertise, resulting in contributions that significantly advance key organizational goals and objectives.
 Is consistently consulted by senior-level officials internal and external to the organization for his or her expertise regarding organizational systems and the internal and external factors impacting programs that extend across components or throughout a component/command or an equivalent organization; seeks out and capitalizes on opportunities to leverage this knowledge to make contributions with far-ranging impact.

CONTRIBUTING FACTORS (Supervisory Pay Schedule)

Critical Thinking

Work Behaviors

Recognizes issues, problems, opportunities, or emerging trends.
Collects information or data that is necessary and appropriate for identifying or addressing issues and problems.
Analyzes and integrates relevant information or data to draw sound conclusions.
Identifies and evaluates alternative solutions to problems or issues.
Makes sound and timely decisions or recommendations.
Identifies and utilizes innovative or creative methods to accomplish work.

Band 1

Expected

Effectively analyzes and integrates complex data to identify emerging patterns or trends; draws reasonable, logical conclusions.
Identifies information necessary and appropriate to define and understand complex issues and collects the information from a variety of sources.
Identifies and evaluates alternative solutions to complex problems or issues that affect the work unit.
Makes sound and timely recommendations or decisions in a variety of complex situations; seeks supervisory assistance as necessary.
Reviews the unit's current work processes and identifies innovative or creative ways to improve efficiency and/or effectiveness.

Enhanced

Additions at the Enhanced level:

Rapidly and correctly identifies key issues or problems, even when subtle.
Displays persistence in tracking down hard-to-find information.
Makes effective recommendations for solving problems beyond immediate scope of responsibility.
Makes sound and timely recommendations or decisions when circumstances are ambiguous or complete information is not available.
Evaluates the impact of external events on current processes and develops creative and effective alternatives.

Band 2

Expected

Effectively analyzes and integrates highly complex data to detect emerging trends, patterns, or opportunities for action; draws reasonable, logical conclusions, considering their immediate, midterm and long range effects.
Identifies information necessary and appropriate to define and understand highly complex issues; collects information from a variety of sources.
Identifies and evaluates alternative solutions to unusual, highly complex problems or issues that affect multiple work units.
Makes sound and timely recommendations or decisions in complex and/or ill-defined situations, conferring with supervisor in unusual situations.
Reviews work processes and identifies and implements innovative or creative ways to improve efficiency and/or effectiveness.

Enhanced

Additions at the Enhanced level:

Makes connections between pieces of divergent information that are difficult to recognize; identifies patterns or emerging trends from minimal or incomplete data.
Focuses on the most critical pieces of information needed to understand a variety of complex issues; displays persistence in tracking down hard-to-find information.
Makes effective recommendations for solving problems beyond immediate scope of responsibility.
Makes sound and timely recommendations or decisions in high-risk situations when complete information is not available.
Anticipates how work processes may be affected by changes in the environment and develops creative and effective alternatives.

Band 3

Expected

Effectively analyzes and integrates highly complex data to detect emerging trends, patterns, or opportunities for action; draws reasonable, logical conclusions, considering their immediate, midterm, and long range effects.
Identifies sources of information necessary and appropriate to define and understand a variety of highly complex or high-visibility issues and place them in a larger context; evaluates information for completeness and validity.
Identifies and evaluates creative and insightful solutions to highly complex or highly visible problems/issues that affect the organization.
Makes sound and timely recommendations or decisions in highly complex, difficult, high pressure, and/or ill-defined situations that have far-reaching impact.
Develops and directs the implementation of innovative or creative work processes to improve efficiency and/or effectiveness.

Enhanced

Additions at the Enhanced level:

Makes connections between pieces of divergent information that are difficult to recognize; identifies patterns or emerging trends from minimal or incomplete data.
Focuses on the most critical information needed to define and understand issues; displays persistence in tracking down hard-to-find, relevant information.
Takes the initiative to resolve problems of particular difficulty, sensitivity, or strategic importance in order to maximize contributions to the organization.
Makes effective decisions in high-risk situations where complete information is not available and there is a high degree of uncertainty about the outcome.
Anticipates how work processes may be affected by changes in the environment and develops creative and highly effective alternatives.

CONTRIBUTING FACTORS (Supervisory Pay Schedule)

Cooperation/Teamwork

Work Behaviors

Develops and maintains effective working relationships with others.
Respects and values individual differences and diversity by treating everyone fairly and professionally.
Contributes to organizational or institutional knowledge by sharing information with others.
Contributes to a positive team atmosphere that fosters cooperation, trust, and group identity.
Collaborates effectively with others to resolve disagreements or conflicts in a positive and constructive manner.

Band 1

Expected

Contributes to achieving work unit objectives by working collaboratively with others and building effective partnerships.
Treats everyone fairly and professionally, respecting and valuing individual differences and diversity; provides guidance to others on respectful behavior.
Shares knowledge and skills with others. Effectively handles minor disagreements or conflicts and resolves them in a positive and constructive manner.

Enhanced

Additions at the Enhanced level:

Takes initiative to make extra contributions to work unit efforts; recognizes when others need assistance and provides support to advance unit goals beyond what is expected.
Builds a climate of cooperation and trust by demonstrating behavior that clearly shows respect for and value of individual differences and diversity.
Seeks out opportunities to share knowledge and skills with others.

Band 2

Expected

Contributes to achieving work unit objectives by demonstrating cooperative behaviors and building effective partnerships across units.
Treats everyone fairly and professionally, respecting and valuing individual differences and diversity; provides guidance to others on respectful behavior.
Encourages and promotes knowledge and skill sharing within the work unit.
Effectively handles disagreements or conflicts, including those that are challenging, and resolves them in a positive and constructive manner.

Enhanced

Additions at the Enhanced level:

Takes initiative to make extra contributions to work unit efforts; recognizes when others need assistance and provides support to advance unit goals beyond what is expected.
Builds a climate of cooperation and trust by demonstrating behavior that clearly shows respect for and value of individual differences and diversity.
Seeks out opportunities to increase knowledge and skill transfer in the work unit.

Band 3

Expected

Builds and maintains a positive team atmosphere by promoting and demonstrating collaboration among work units; skillfully builds collaborative networks of partners and decision makers across boundaries that help the organization to achieve its goals.
Builds a climate of cooperation and trust by treating everyone fairly and professionally, respecting and valuing individual differences and diversity; provides guidance to others on respectful behavior and provides direct, clear feedback to individuals who behave in a manner inconsistent with these values.
Seeks out opportunities to increase knowledge and skill transfer in the organization.
Anticipates, strives to mitigate, and effectively handles complex or sensitive disagreements or conflicts and resolves them in a positive and constructive manner.

Enhanced

Additions at the Enhanced level:

Takes initiative to make extra contributions to cross-organizational efforts; recognizes when others need assistance and provides support to advance organizational goals beyond what is expected.
Champions respect for and value of individual differences and diversity, fostering a climate that reinforces these values.
Actively works to ensure the continuous transfer of knowledge and skills throughout the organization by serving as a technical resource or initiating and supporting the development of formal knowledge sharing systems (e.g., work aids, technical papers, etc.).

CONTRIBUTING FACTORS (Supervisory Pay Schedule)

Communication

Work Behaviors

Actively listens and appropriately responds to the questions, ideas, and concerns of others.
Writes in an accurate, clear, concise, well-organized, and timely manner.
Orally communicates in an accurate, clear, concise, well-organized, and timely manner.
Tailors communication (e.g., language, tone, level of specificity) to the audience's level of understanding and to the communication medium.

Band 1

Expected

Seeks and actively listens to others' questions, ideas, and concerns; shows respect for and carefully considers diverse viewpoints and responds appropriately, following up to ensure understanding.
Communicates and responds to day-to-day situational issues in an accurate, clear, concise, well-organized, and timely manner; written communications typically require few revisions.
Tailors communication style (e.g., language, tone, and format) and content to meet the audience's needs and level of understanding.

Enhanced

Additions at the Enhanced level:

Adeptly reads social interactions and nonverbal cues and adjusts own behavior to more effectively communicate with others.
Prepares and delivers communications that are of high quality as recognized by peers, supervisors, and/or customers.
Skillfully communicates complex information to a variety of audiences in a manner that enhances their understanding.

Band 2

Expected

Seeks and actively listens to others' questions, ideas, and concerns; shows respect for and carefully considers diverse viewpoints and crafts clear and organized responses, following up to ensure understanding.
Communicates complex or sensitive information in an accurate, clear, concise, well-organized, and timely manner; written communications require minimal revisions.
Tailors communication style (e.g., language, tone, and format) and content to meet the audience's needs and level of understanding; takes into consideration political, environmental, and resource implications.
Effectively explains or defends relevant viewpoints when necessary.

Enhanced

Additions at the Enhanced level:

Adeptly reads complex social interactions and nonverbal cues and adjusts own behavior to communicate more effectively with others.
Prepares and delivers communications that are of exceptional quality as recognized by peers, supervisors, and/or customers.
Skillfully communicates complex information to a range of audiences in a manner that enhances their understanding and acceptance of the information.

Band 3

Expected

Seeks and actively listens to others' questions, ideas, and concerns; shows respect for and carefully considers diverse viewpoints and crafts clear and organized responses, following up to ensure understanding.
Communicates highly complex and potentially controversial information to a wide variety of audiences in an accurate, clear, concise, well-organized, and timely manner; written communications are generally accepted without changes.
Tailors style, materials, and content to communicate information effectively to different levels of audiences, properly emphasizing key issues and considering ramifications of communications; takes into consideration political, environmental, and resource implications.
Effectively explains or defends relevant viewpoints when necessary.

Enhanced

Additions at the Enhanced level:

Adeptly reads complex social interactions and nonverbal cues and adjusts own behavior to communicate more effectively with others.
Conveys the most complex and highest visibility communications effectively, properly emphasizing key issues and considering the full range of ramifications of communications; prepares and delivers communications of exceptional quality as recognized by peers, supervisors, and/or customers.
Skillfully anticipates the needs of diverse audiences and optimally targets consistent and clear communications to different levels and needs in a manner that enhances their understanding and acceptance of the information; consistently persuades them to a relevant point of view.

CONTRIBUTING FACTORS (Supervisory Pay Schedule)**Customer Focus****Work Behaviors**

Effectively identifies and assesses customer requirements.
Effectively manages customer expectations and addresses questions and concerns.
Provides timely, flexible, and responsive service to customers.

Band 1**Expected**

Maintains contact with customers and is effective in understanding their needs; uses customer feedback to address customer requirements and guides others to do the same.
Works with, and guides others in working with, customers to set mutually acceptable expectations (e.g., timelines and deliverables).
Informs customers of changes, issues, or problems that could affect progress and develops and implements effective solutions to address them.
Provides timely, flexible, and responsive products and/or services to customers.

Enhanced**Additions at the Enhanced level:**

Develops creative and useful suggestions for designing and adapting products and/or services; ideas are well received by customers.
Anticipates customer needs and resolves or avoids potential problems, resulting in high customer satisfaction.

Band 2**Expected**

Maintains contact with customers and is effective in identifying and assessing their needs; guides others in using customer feedback to design and enhance products and/or services.
Works with, and guides others in working with, customers to set mutually acceptable expectations (e.g., timelines and deliverables).
Informs customers of changes, issues, or problems that could affect progress and directs the implementation of effective solutions to address them.
Provides timely, flexible, innovative, and responsive products and/or services to customers, resulting in high customer satisfaction.

Enhanced**Additions at the Enhanced level:**

Systematically monitors quality, delivery, and customer satisfaction levels; makes adjustments based on these data to improve customer products and/or services.
Anticipates and integrates customer needs and expectations into future service offerings, resulting in highly valued deliverables that maximize customer satisfaction.
Takes initiative and works with staff to anticipate and proactively implement effective solutions to prevent problems and avoid gaps in customer expectations.

Band 3**Expected**

Guides others in developing Expected, responsive relationships with diverse customers; implements processes to define customer requirements.
Works with, and guides others in working with, customers to set mutually acceptable expectations (e.g., timelines and deliverables).
Intervenes in problem situations with customers, resolving concerns and issues while still maintaining good working relationships.
Manages the delivery of products and/or services by subordinate units and ensures that they are timely, flexible, innovative, and responsive, resulting in high customer satisfaction.

Enhanced**Additions at the Enhanced level:**

Systematically monitors quality, delivery, and customer satisfaction levels; makes adjustments based on these data to improve customer products and/or services.
Oversees the development and implementation of long-term product or service strategies that effectively support the organization's strategic direction and surpass customer expectations.
Takes initiative and works with staff to anticipate and proactively implement effective solutions to prevent problems and avoid gaps in customer expectations.

CONTRIBUTING FACTORS (Supervisory Pay Schedule)**Resource Management****Work Behaviors**

Maintains an awareness of available resources and the process for acquiring needed resources.
Identifies and advocates for resources required to accomplish work activities or projects.
Makes effective and efficient use of available resources.
Safeguards available resources to prevent fraud, waste, and abuse.
Promotes workplace safety and security.

Band 1**Expected**

Demonstrates considerable knowledge of the resources available to the work unit and the processes for acquiring them; identifies and advocates for resources necessary to accomplish work activities or projects.
Ensures that the use and allocation of resources is consistent with projects and/or programs and the mission needs of the organization; safeguards against fraud, waste, and abuse.
Promotes workplace safety, security and applicable safety programs by demonstrating correct behavior and enforcing compliance with proper standards, policies, procedures, and guidelines.

Enhanced**Additions at the Enhanced level:**

Anticipates changes in resource needs and advocates for resources well in advance of when they are needed; adeptly identifies innovative and/or alternative authorized resources.
Is sought out by others to provide advice and guidance on optimizing available resources.
Provides recommendations for improving safety and security procedures.

Band 2**Expected**

Demonstrates considerable knowledge of the resources available to the organization and the processes for acquiring them; prepares complex resource plans, and effectively defends resource requirements.
Ensures that the use and allocation of resources is consistent with projects and/or programs and the mission needs of the organization; safeguards against fraud, waste, and abuse.
Promotes workplace safety, security and applicable safety programs by demonstrating correct behavior and enforcing compliance with proper standards, policies, procedures, and guidelines.

Enhanced**Additions at the Enhanced level:**

Displays added resourcefulness by using and advising others on innovative and/or alternative authorized resources, thereby maximizing what can be achieved.
Anticipates changes in workload requirements and advocates for needed resources well in advance.
Devises and implements innovative approaches to use limited resources in a manner that optimizes results.
Provides recommendations for improving safety and security procedures.

Band 3**Expected**

Demonstrates expert knowledge of the resources available to the organization and the processes for acquiring them; identifies and effectively negotiates for the resources needed to meet program objectives; prepares complex resource plans, and effectively defends resource requirements.
Manages and oversees resource expenditures for assigned program(s), making adjustments as needed to increase efficiency; safeguards against fraud, waste, and abuse.
Promotes workplace safety, security and applicable safety programs by demonstrating correct behavior and enforcing compliance with proper standards, policies, procedures, and guidelines.

Enhanced**Additions at the Enhanced level:**

Displays added resourcefulness by using and advising others on innovative and/or alternative authorized resources, thereby maximizing what can be achieved.
Anticipates changes in organizational requirements and advocates for needed resources well in advance.
Manages resource requirements for dynamic and difficult programs, consistently monitoring and regularly redirecting resources to optimize results across initiatives.
Provides recommendations for improving safety and security procedures.

CONTRIBUTING FACTORS (All Supervisors and Selected Employees in the Professional/Analytic and Technician/Support Pay Schedules)	
Leadership	
Work Behaviors	
Seeks out and capitalizes on opportunities to help the organization accomplish its mission and objectives and move toward its long-term vision. Communicates a vision for work unit, translating broad organizational goals into concrete objectives, plans, priorities, and assignments. Effectively assigns, coordinates, and monitors the work of others. Provides timely and constructive feedback (formal or informal) to others. Develops others through motivation, mentoring, and coaching. Fosters an environment that facilitates a high performing workforce and models a high standard of performance for others	
Band 1 (Band 2 for Technical Support Pay Schedule)	
Expected Translates project or work unit goals into concrete work assignments for staff; effectively communicates goals and expectations and follows up to ensure tasks are completed efficiently and effectively. Appropriately considers strengths and developmental needs of subordinates in assigning work. Provides timely and constructive feedback to staff, encouraging and soliciting employee input as appropriate, to improve work products and/or services and develop their skills. Develops others through motivation, mentoring, coaching, and instruction. Creates an environment that facilitates a high performing work unit and demonstrates a high standard of performance and ethical behavior.	
Enhanced Additions at the Enhanced level: Effectively seeks out and capitalizes on opportunities for the work unit to achieve significant results that support work unit goals. Helps staff to develop new skills and competencies by encouraging them to attempt more difficult tasks and try new approaches.	
Band 2 (Band 3 for Technical Support Pay Schedule)	
Expected Translates work unit goals into concrete work assignments and objectives for staff; effectively communicates goals and expectations and follows up to ensure tasks are completed efficiently and effectively. Appropriately considers strengths and developmental needs of subordinates in assigning work. Provides timely and constructive feedback to staff, encouraging and soliciting employee input as appropriate, to improve work products and/or services and develop their skills. Develops others through motivation, mentoring, coaching, and instruction. Creates an environment that facilitates a high performing work unit and demonstrates a high standard of performance and ethical behavior.	
Enhanced Additions at the Enhanced level: Effectively seeks out and capitalizes on opportunities for the work unit to achieve significant results that support organizational goals. Helps staff to identify their own developmental needs and provides challenging assignments to address those needs.	
Band 3 (Band 4 for Technical Support Pay Schedule)	
Expected Effectively formulates short- and long-term strategies across units that take a broad view and achieve significant results in support of the organization's goals and long-term vision. Translates broad organizational goals into objectives and assignments and helps unit leaders determine how to execute them efficiently and effectively. Appropriately considers strengths and developmental needs of subordinates in assigning work. Provides timely and constructive feedback to staff, encouraging and soliciting employee input as appropriate, to improve work products and/or services and develop their skills. Develops others through motivation, mentoring, coaching, and instruction. Creates an environment that facilitates a high performing work unit and demonstrates a high standard of performance and ethical behavior.	
Enhanced Additions at the Enhanced level: Anticipates new or changing demands and plans effectively for the future by developing strategies for units to meet organizational goals. Identifies feedback measures that provide information for assessing priorities and advancing organizational goals. Influences subordinates to pursue developmental opportunities and provides support for those opportunities.	

CONTRIBUTING FACTORS (Technician/Support Pay Schedule)

Technical Proficiency

Work Behaviors

Demonstrates and applies relevant and appropriate knowledge and skills to perform work activities.
 Stays up-to-date and acquires new job-relevant knowledge and skills by participating in training or other learning activities.
 Uses appropriate and available technology or tools to perform work activities.
 Demonstrates an understanding of how relevant organizational systems and processes affect own work.
 Maintains an awareness of current events and other external factors that may affect work.

Band 1**Expected**

With guidance, applies basic know perform straightforward or well-defined work activities.
 As directed, acquires, develops, and maintains relevant job skills and required certifications through a variety of methods and applies this knowledge to improve own performance.
 Demonstrates a basic understanding of relevant systems, processes, and procedures that affect own work; applies this knowledge constructively when completing own assignments.

Enhanced**Additions at the Enhanced level:**

Applies knowledge to perform more advanced tasks with minimal supervision.
 Takes initiative to improve technical knowledge and skills through a variety of self-directed development activities, resulting in an increased ability to contribute to the mission.

Band 2**Expected**

Applies well-developed knowledge and skills (including use of appropriate technology, tools, and/or equipment) to effectively perform a full range of assignments, including moderately complex work activities; seeks occasional guidance as appropriate.
 Acquires, develops, and maintains relevant job skills and required certifications through a variety of methods and applies this knowledge to improve own performance and contribute to the mission.
 Demonstrates an understanding of relevant systems, processes, procedures, and external factors that affect own work and the work of the unit; applies this knowledge to constructively contribute to objectives and priorities.

Enhanced**Additions at the Enhanced level:**

Applies knowledge to independently perform more complex tasks.
 Takes initiative to improve technical knowledge and skills through a variety of self-directed development activities, resulting in an increased ability to contribute to the mission.

Band 3**Expected**

Applies advanced-level knowledge and skills (including use of appropriate technology, tools, and/or equipment) to effectively perform a wide range of complex work activities.
 Acquires, develops, and maintains relevant job skills and required certifications through a variety of methods and applies this knowledge to improve own performance and contribute to the mission.
 Demonstrates a thorough understanding of relevant systems, processes, procedures, and external factors that affect the organization; applies this knowledge to constructively contribute to organizational objectives and priorities.

Enhanced**Additions at the Enhanced level:**

Applies depth and breadth of knowledge to independently perform the most complex or varied assignments at this level.
 Takes initiative to develop and maintain job skills through a variety of self-directed development activities, resulting in an increased ability to contribute to the mission.

Band 4**Expected**

Applies expert-level knowledge and skills (including use of appropriate technology, tools, and/or equipment) to effectively perform a wide range of highly complex work activities.
 Maintains technical expertise and required certifications by keeping up-to-date with the latest developments in professional/technical specialties. Applies expert-level knowledge to improve own and organizational performance.
 Demonstrates an extensive understanding of relevant systems, processes, procedures, and external factors that affect the organization; applies this knowledge to positively contribute to organizational objectives and priorities. Applies this knowledge to constructively contribute to organizational objectives and priorities.

Enhanced**Additions at the Enhanced level:**

Is frequently consulted for depth and/or breadth of expertise to handle the most complex and difficult assignments at this level.
 Continually strives to broaden and enhance expertise, resulting in contributions that significantly advance key organizational goals and objectives.

CONTRIBUTING FACTORS (Technician/Support Pay Schedule)

Critical Thinking

Work Behaviors

Gathers, organizes, and maintains relevant information.
Analyzes information to draw sound conclusions.
Identifies problems and generates solutions.
Makes reasonable and timely decisions or recommendations.
Identifies and utilizes innovative or creative methods to accomplish work assignments.

Band 1

Expected

With guidance, gathers relevant information or data needed to complete assignments; organizes and maintains information according to established procedures.
Evaluates information against standard procedures and guidelines to identify obvious issues or problems.
Brings problems to the attention of senior staff/supervisor.
With guidance, makes logical decisions regarding routine issues that arise in carrying out instructions.

Enhanced

Additions at the Enhanced level:

Takes initiative to identify additional sources of information beyond what would be expected for this level.
Anticipates when standard procedures may not work in accomplishing own assignments and takes initiative to suggest alternatives.

Band 2

Expected

Identifies and gathers relevant information from a variety of sources to complete assignments; effectively organizes and maintains information.
Evaluates a range of information to identify moderately complex problems and suggest effective solutions.
Makes timely and logical decisions in well-defined, low-risk situations affecting own work.
Modifies methods for accomplishing assignments when it becomes clear that standard methods will not work.

Enhanced

Additions at the Enhanced level:

Takes initiative to identify additional sources of information to gain a more comprehensive understanding of work assignments.
Independently recognizes issues or problems and identifies patterns or trends to draw conclusions.
Anticipates when standard procedures may not work in accomplishing own or work unit assignments and takes initiative to suggest effective alternatives.

Band 3

Expected

Identifies and gathers relevant information from a variety of sources to gain a comprehensive understanding of issues and problems.
Evaluates and integrates information from a variety of sources to provide solutions for complex problems.
Makes timely and logical recommendations or decisions on a variety of complex issues; seeks supervisory assistance for unusual situations.
Identifies and proposes innovative or creative methods to improve own or work unit efficiency or effectiveness.

Enhanced

Additions at the Enhanced level:

Correctly identifies key issues or problems, assesses their significance, and draws innovative conclusions.
Displays persistence in tracking down hard-to-obtain information.
Makes timely and logical recommendations or decisions when circumstances are ambiguous or complete information is not available.
Evaluates the impact of external events on current procedures and proposes appropriate alternatives.

Band 4

Expected

Identifies and gathers relevant information from a variety of sources to gain a comprehensive understanding of complex issues and problems and place them in a larger context.
Efficiently and effectively evaluates and integrates information from a variety of sources to address complex and unusual problems; develops alternative solutions to issues or problems.
Makes timely and logical recommendations or decisions in complex, ambiguous, or unusual situations.
Identifies and develops innovative or creative methods to improve own or work unit efficiency or effectiveness.

Enhanced

Additions at the Enhanced level:

Correctly identifies significant connections between pieces of data, focusing on the most critical information needed to draw innovative conclusions.
Displays persistence in tracking down hard-to-obtain information.
Takes the initiative to resolve highly complex problems affecting the work unit.
Makes effective decisions under pressure or when there is a high degree of uncertainty about the outcome.
Evaluates the impact of external events on current procedures and develops appropriate alternatives. Makes timely and logical recommendations or decisions in complex, ambiguous, or unusual situations.
Identifies and develops innovative or creative methods to improve own or work unit efficiency or effectiveness.

CONTRIBUTING FACTORS (Technician/Support Pay Schedule)

Cooperation and Teamwork

Work Behaviors

Develops and maintains effective working relationships with others.
Respects and values individual differences and diversity by treating everyone fairly and professionally.
Helps others learn by sharing knowledge and information.
Contributes to a positive team atmosphere that fosters cooperation, trust, and group identity.
Collaborates effectively with others to resolve differences and reach mutually acceptable agreements.

Band 1

Expected

Works collaboratively and flexibly with others to accomplish shared goals.
Treats everyone fairly and professionally; demonstrates respect for and value of individual differences and diversity.
Provides information and assistance to others as needed.
With guidance, handles minor work-related disagreements or conflicts in a positive and constructive manner.

Enhanced

Additions at the Enhanced level:

Takes initiative to make extra contributions to work unit efforts and provide assistance to others beyond what is expected.
Seeks out opportunities to share knowledge and skills with others.
Contributes to a positive team atmosphere that fosters cooperation, trust, and group identity.

Band 2

Expected

Works collaboratively and flexibly with others to accomplish work unit goals.
Treats everyone fairly and professionally; demonstrates respect for and value of individual differences and diversity.
Shares relevant knowledge and information with others.
Handles minor work-related disagreements or conflicts and resolves them in a positive and constructive manner; seeks assistance from senior staff on more difficult situations.

Enhanced

Additions at the Enhanced level:

Takes initiative to make extra contributions to work unit efforts and provide assistance to others beyond what is expected.
Seeks out opportunities to share knowledge and skills with others.
Participates in the development of formal knowledge sharing systems.
Contributes to a positive team atmosphere that fosters cooperation, trust, and group identity.

Band 3

Expected

Contributes to achieving work unit goals by working collaboratively and flexibly with others and building effective partnerships across units.
Treats everyone fairly and professionally; demonstrates respect for and value of individual differences and diversity and promotes these values within the work unit.
Shares relevant knowledge and information with others.
Contributes to a positive team atmosphere that fosters cooperation, trust, and group identity.
Handles challenging work-related disagreements or conflicts and resolves them in a positive and constructive manner; develops options to resolve disagreements or conflicts that require resolution at a higher level.

Enhanced

Additions at the Enhanced level:

Takes initiative to make extra contributions to work unit efforts beyond what is expected; recognizes when others need assistance and provides support to advance work unit goals.
Seeks out opportunities to share knowledge and skills with others and develops formal knowledge sharing systems.
Anticipates and strives to mitigate work-related disagreements or conflicts.

Band 4

Expected

Contributes to achieving work unit goals by demonstrating collaboration and flexibility and building effective partnerships internal and external to the organization.
Treats everyone fairly and professionally; demonstrates respect for and value of individual differences and diversity and promotes these values within the work unit.
Seeks out opportunities to share relevant knowledge and skills with others.
Contributes to a positive team atmosphere that fosters cooperation, trust, and group identity.
Anticipates, strives to mitigate, and effectively handles complex or sensitive work-related disagreements or conflicts and resolves them in a positive and constructive manner; develops options to resolve disagreements or conflicts that require resolution at a higher level.

Enhanced

Additions at the Enhanced level:

Takes initiative to make extra contributions to work unit efforts beyond what is expected; recognizes when others need assistance and provides support to advance organizational goals.
Champions respect for and value of individual differences and diversity, fostering a climate that reinforces these values.
Actively works to ensure the continuous transfer of knowledge and skills throughout the work unit by serving as a technical resource and initiating or overseeing the development of formal knowledge sharing systems.

CONTRIBUTING FACTORS (Technician/Support Pay Schedule)

Communication

Work Behaviors

Actively listens and appropriately responds to the instructions, questions, ideas, and concerns of others.
Writes in an accurate, concise, and clear manner.
Orally communicates in an accurate, concise, and clear manner.
Tailors communication (e.g., language, tone, level of specificity) in ways that are appropriate to the audience.

Band 1

Expected

Actively listens to others and asks for clarification when needed to ensure understanding; shows respect for others' ideas, comments, and suggestions.
With guidance, communicates basic information in an accurate and clear manner.
Written communications may require revisions.

Enhanced

Additions at the Enhanced level:

Prepares and delivers communications with minimal guidance.
Written communications require fewer revisions than would ordinarily be expected at this level.
With guidance, effectively tailors communications as appropriate to the audience.

Band 2

Expected

Actively listens and appropriately responds to straightforward questions and concerns from others; shows respect for others' ideas, comments, and questions.
Communicates substantive information in an accurate, clear, and concise manner.
Written communications typically require few revisions.
Effectively adjusts communications to the audience's level of understanding.

Enhanced

Additions at the Enhanced level:

Written communications require fewer revisions than would ordinarily be expected at this level.
Tailors the amount and format of information included in communications to meet the audience's needs.

Band 3

Expected

Solicits and actively listens to others' questions, ideas, and concerns; shows respect for diverse viewpoints and responds appropriately.
Communicates moderately complex information in an accurate, clear, and concise manner.
Written communications typically require no revisions.
Tailors communication style (e.g., language, tone, and format) to meet the audience's needs and level of understanding.

Enhanced

Additions at the Enhanced level:

Interprets verbal and nonverbal cues in interpersonal interactions and adjusts own behavior to more effectively communicate with others.
Prepares and delivers communications that are of exceptional technical quality.

Band 4

Expected

Solicits and actively listens to others' questions, ideas, and concerns; shows respect for and carefully considers diverse viewpoints and provides clear and organized responses, following up to ensure understanding.
Communicates complex information in an accurate, clear, concise, and well-organized manner.
Written communications are generally accepted without revisions.
Tailors communication style (e.g., language, tone, and format) and customizes communications to meet the audience's needs and level of understanding.

Enhanced

Additions at the Enhanced level:

Interprets verbal and nonverbal cues in interpersonal interactions and adjusts own behavior to more effectively communicate with others.
Prepares and delivers communications that are of exceptional technical quality.
Uses a variety of techniques to communicate highly complex information, concepts, and ideas to a range of audiences in a manner that facilitates their understanding and acceptance of the information.

CONTRIBUTING FACTORS (Technician/Support Pay Schedule)

Customer Focus

Work Behaviors

Communicates with customers to understand their needs.
Responds appropriately to customer questions and concerns.
Provides timely and effective service to customers.

Band 1

Expected

Communicates with customers to understand their needs.
Responds appropriately to customer questions and concerns.
Provides timely and effective service to customers.

Enhanced

Additions at the Enhanced level:

Takes initiative to learn about and engage with customers to better understand their needs, resulting in a higher quality of products and/or services.
Independently interacts with customers and provides high quality products and/or services.
Displays flexibility when interacting with customers.

Band 2

Expected

Effectively interacts with customers to understand their needs, answer questions, and provide them with routine information about products and/or services.
Within scope of responsibility, provides timely and effective products and/or services to customers.
Quickly and effectively responds to customer questions and requests.

Enhanced

Additions at the Enhanced level:

Takes initiative to learn about and engage with customers to better understand their needs, resulting in a higher quality of products and/or services.
Recognizes potential issues or inconsistencies in customer requests and proposes solutions.
Displays flexibility in responding to changing customer needs.

Band 3

Expected

Maintains regular contact with customers to understand their needs and provides timely and effective products and/or services to meet those needs; uses customer feedback to enhance products and/or services.
Works with customers to discuss or set mutually acceptable expectations (e.g., timelines and deliverables).
Keeps relevant stakeholders informed of problems that could impede progress and suggests workable solutions.
Quickly and effectively responds to customer questions and requests.

Enhanced

Additions at the Enhanced level:

Takes initiative to learn about and engage with customers to better understand their needs and improve customer satisfaction.
Anticipates and proactively resolves potential problems, thus avoiding gaps in customer expectations.
Displays flexibility in responding to changing customer needs.

Band 4

Expected

Maintains regular contact with customers to understand and anticipate their needs and provides timely and effective products and/or services to meet those needs; uses customer feedback to adapt and improve service offerings.
Works with customers to set mutually acceptable expectations (e.g., timelines and deliverables).
Keeps relevant stakeholders informed of problems that could impede progress and develops effective solutions to address them.
Quickly and effectively responds to customer questions and requests.

Enhanced

Additions at the Enhanced level:

Takes initiative to learn more about customers and their environment to better understand their current and future needs and uses this information to improve the overall level of customer satisfaction and service.
Anticipates and implements effective solutions to prevent problems, thus avoiding gaps in customer expectations.

CONTRIBUTING FACTORS (Technician/Support Pay Schedule)

Resource Management

Work Behaviors

Maintains an awareness of available resources and the process for acquiring needed resources.
Identifies and advocates for resources required to accomplish work activities or projects.
Makes effective and efficient use of available resources.
Safeguards available resources to prevent fraud, waste, and abuse.
Complies with workplace safety and security requirements.

Band 1

Expected

Demonstrates a basic awareness of available resources and the process for acquiring resources needed to accomplish own work.
With guidance, requests basic resources needed to perform own work; uses resources in a manner that safeguards against fraud, waste, and abuse.
Properly follows all workplace safety and security procedures.

Enhanced

Additions at the Enhanced level:

Takes initiative to learn as much as possible about available resources and the process for acquiring them.
Makes useful suggestions for increasing efficiency in the use of resources.

Band 2

Expected

Demonstrates knowledge of available resources and the process for acquiring them; identifies and requests resources necessary to accomplish own work activities or projects.
Ensures that use of resources is consistent with planned activities and safeguards against fraud, waste, and abuse.
Properly follows all workplace safety and security procedures and reinforces correct behaviors in others.

Enhanced

Additions at the Enhanced level:

Anticipates changes in workload requirements and advocates for resources well in advance of when they are needed.
Actively assists others in using resources more efficiently.
Suggests flexible and innovative approaches to stretch limited resources.

Band 3

Expected

Demonstrates knowledge of available resources and the processes to acquire them; identifies and advocates for resources necessary to accomplish work unit activities or projects.
Uses resources in an efficient and effective manner that safeguards against fraud, waste, and abuse.
Promotes workplace safety and security by demonstrating correct behaviors and reinforcing proper procedures with others.

Enhanced

Additions at the Enhanced level:

Anticipates changes in workload requirements and advocates for resources well in advance of when they are needed.
Identifies alternative resources and actively assists others in using resources more efficiently.
Suggests flexible and innovative approaches to stretch limited resources.

Band 4

Expected

Demonstrates knowledge of available resources and the processes to acquire them; identifies and effectively advocates for the resources necessary to meet work unit objectives.
Actively contributes to resource planning efforts and competently defends resource requirements.
Ensures that resources are used effectively and efficiently and safeguards against fraud, waste, and abuse.
Promotes workplace safety and security by demonstrating correct behaviors and reinforcing proper procedures with others.

Enhanced

Additions at the Enhanced level:

Anticipates changes in workload requirements and advocates for resources well in advance of when they are needed.
Balances competing resource requirements to ensure alignment with mission objectives.
Identifies alternative resources and actively assists others in using resources more efficiently.
Devises and implements flexible and innovative approaches to stretch limited resources, resulting in greater contributions to the organization.

CONTRIBUTING FACTORS (All Supervisors and Selected Employees in the Professional/Analytic and Technician/Support Pay Schedules)	
Leadership	
Work Behaviors	
Seeks out and capitalizes on opportunities to help the organization accomplish its mission and objectives and move toward its long-term vision. Communicates a vision for work unit, translating broad organizational goals into concrete objectives, plans, priorities, and assignments. Effectively assigns, coordinates, and monitors the work of others. Provides timely and constructive feedback (formal or informal) to others. Develops others through motivation, mentoring, and coaching. Fosters an environment that facilitates a high performing workforce and models a high standard of performance for others	
Band 1 (Band 2 for Technical Support Pay Schedule)	
Expected Translates project or work unit goals into concrete work assignments for staff; effectively communicates goals and expectations and follows up to ensure tasks are completed efficiently and effectively. Appropriately considers strengths and developmental needs of subordinates in assigning work. Provides timely and constructive feedback to staff, encouraging and soliciting employee input as appropriate, to improve work products and/or services and develop their skills. Develops others through motivation, mentoring, coaching, and instruction. Creates an environment that facilitates a high performing work unit and demonstrates a high standard of performance and ethical behavior.	
Enhanced Additions at the Enhanced level: Effectively seeks out and capitalizes on opportunities for the work unit to achieve significant results that support work unit goals. Helps staff to develop new skills and competencies by encouraging them to attempt more difficult tasks and try new approaches.	
Band 2 (Band 3 for Technical Support Pay Schedule)	
Expected Translates work unit goals into concrete work assignments and objectives for staff; effectively communicates goals and expectations and follows up to ensure tasks are completed efficiently and effectively. Appropriately considers strengths and developmental needs of subordinates in assigning work. Provides timely and constructive feedback to staff, encouraging and soliciting employee input as appropriate, to improve work products and/or services and develop their skills. Develops others through motivation, mentoring, coaching, and instruction. Creates an environment that facilitates a high performing work unit and demonstrates a high standard of performance and ethical behavior.	
Enhanced Additions at the Enhanced level: Effectively seeks out and capitalizes on opportunities for the work unit to achieve significant results that support organizational goals. Helps staff to identify their own developmental needs and provides challenging assignments to address those needs.	
Band 3 (Band 4 for Technical Support Pay Schedule)	
Expected Effectively formulates short- and long-term strategies across units that take a broad view and achieve significant results in support of the organization's goals and long-term vision. Translates broad organizational goals into objectives and assignments and helps unit leaders determine how to execute them efficiently and effectively. Appropriately considers strengths and developmental needs of subordinates in assigning work. Provides timely and constructive feedback to staff, encouraging and soliciting employee input as appropriate, to improve work products and/or services and develop their skills. Develops others through motivation, mentoring, coaching, and instruction. Creates an environment that facilitates a high performing work unit and demonstrates a high standard of performance and ethical behavior.	
Enhanced Additions at the Enhanced level: Anticipates new or changing demands and plans effectively for the future by developing strategies for units to meet organizational goals. Identifies feedback measures that provide information for assessing priorities and advancing organizational goals. Influences subordinates to pursue developmental opportunities and provides support for those opportunities.	

DEPARTMENT OF DEFENSE NATIONAL SECURITY PERSONNEL SYSTEM (NSPS)
Performance Indicators
Technician/Support Pay Schedule (Non-Supervisors)

Band 1

Level 3:

With supervision, effectively completed assigned job objective and work assignments; ensured completed work adhered to given instructions and standards.

In achieving job objectives and work assignments adhered to work/project schedules and prioritized work tasks; adjusted scheduled activities as directed to achieve desired results.

Level 5

Additions at the Level 5:

Achieved outcomes and results that are superior in quality, quantity, timeliness and/or impact to what would ordinarily be expected at this level.

Contributed to organizational performance well beyond what is expected.

Band 2

Level 3:

Effectively completed job objectives and work assignments, anticipating and overcoming obvious obstacles; ensured completed work is timely and adheres to applicable standards, policies, procedures, and guidelines.

In achieving job objectives and work assignments adhered to work/project schedules; organizes or prioritizes own tasks to complete assignments in an effective and efficient manner; adjusted own work priorities to achieve desired results.

Demonstrated high standards of personal and professional conduct and performance.

Level 5

Additions at the Level 5:

Achieved outcomes and results that are superior in quality, quantity, timeliness and/or impact to what would ordinarily be expected at this level.

Persisted in overcoming obstacles and puts forth extra effort to accomplish difficult assignments.

Contributed to organizational performance well beyond what is expected.

Band 3

Level 3:

Effectively completed job objectives and work assignments.

Completed work that supports unit-related objectives, anticipating and overcoming obstacles; ensures completed work is accurate, thorough, documented, and meets applicable instructions, authorities, standards, policies, procedures, and guidelines.

Organized, prioritizes, and schedules own and/or other's work activities to complete assignments in a timely and effective manner; adjusts priorities to respond effectively to changing situations.

Demonstrated high standards of personal and professional conduct and models a high standard of performance for others.

Additions at the level 5 :

Achieved outcomes and results that are superior in quality, quantity, timeliness and impact to what would ordinarily be expected at this level.

Contributed to organizational performance well beyond what is expected.

Exhibited the highest standards of professionalism.

Band 4

Level 3:

Effectively completed job objectives and work assignments.

Completed work that supports mission-related objectives, anticipating and overcoming difficult obstacles; ensures completed work is accurate, thorough, documented, and in alignment with the mission and objectives of the organization as well as applicable instructions, authorities, standards, policies, procedures, and guidelines.

In achieving job objectives and work assignments established priorities and oversaw the coordination of work across multiple projects, effectively balanced competing work demands to ensure a positive outcome; makes adjustments to priorities and schedules to effectively respond to changing work situations or demands.

Demonstrated high standards of personal and professional conduct and models a high standard of performance for others.

Additions at the level 5:

Achieved outcomes and results that are superior in quality, quantity, timeliness and impact to what would ordinarily be expected at this level.

Persisted in overcoming obstacles and puts forth extra effort to accomplish difficult assignments.

Contributed to organizational performance well beyond what is expected.

Exhibited the highest standards of professionalism.

DEPARTMENT OF DEFENSE NATIONAL SECURITY PERSONNEL SYSTEM (NSPS)
Performance Indicators
Professional/Analytic Pay Schedules (Non- Supervisors)

Band 1

Level 3:

With guidance, effectively achieved the stated objective.

With guidance, organized and prioritized own tasks to deliver the objective, adjusting work plans and overcoming obstacles as necessary.

Demonstrated high standards of personal and professional conduct and represented the organization or work unit effectively.

Level 5

Additions at the Level 5:

Contributed results beyond what was expected; results were far superior in quality, quantity, timeliness and/or impact to the stated objective. Exhibited the highest standards of professionalism.

Band 2

Level 3

Effectively achieved the stated objective, anticipating and overcoming significant obstacles. Adapts established methods and procedures when needed.

Results were technically sound, accurate, thorough, documented, and met applicable authorities, standards, policies, procedures and guidelines.

Planned, organized prioritized, and scheduled own work activities to deliver the objective in a timely and effective manner, making adjustments to respond to changing situations and anticipating and overcoming difficult obstacles as necessary.

Demonstrated high standards of personal and professional conduct and represented the organization or work unit effectively.

Level 5

Additions at the Level 5:

Contributed results beyond what was expected; results were far superior in quality, quantity, and/or impact to the stated objective to what would be expected at this level.

Exhibited the highest standards of professionalism.

Band 3

Level 3

Effectively delivered an objective with broad and significant impact that was in alignment with the mission and objectives of the organization as well as applicable authorities, standards, policies, procedures and guidelines anticipating and overcoming significant obstacles. Adapts established methods and procedures when needed.

Established priorities and coordinated work across projects, programs or people, effectively balancing work demands and anticipating and overcoming difficult obstacles to achieve a timely and positive outcome.

Demonstrated high standards of professional conduct and represented the organization or work unit effectively.

Level 5

Additions at the Level 5:

Contributed results beyond what was expected in the face of highly difficult obstacles; results were far superior in quality, quantity, and/or impact to the stated objective to what would be expected at this level.

Created new and innovative methods and processes that contributed significantly to the success of the organization.

Exhibited the highest standards of professionalism. Accomplishments and outcomes were of such magnitude that they contributed to the organization exceeding its mission goals and objectives for the year.

DEPARTMENT OF DEFENSE NATIONAL SECURITY PERSONNEL SYSTEM (NSPS)

Performance Indicators

Supervisors

Band 1

Level 3:

With guidance, effectively achieved the stated objective.

With guidance, organized and prioritized own tasks to deliver the objective, adjusting work plans and overcoming obstacles as necessary.

As directed, translated project or team goals into objectives and work assignments for others; followed up to ensure tasks were completed effectively and in a timely manner.

With guidance, achieved expected results by effectively carrying out all established supervisory responsibilities.

As directed, maintained a productive, safe and harmonious workplace by responding promptly and effectively to employee misconduct, prohibited discrimination, harassment, deficient performance, etc.

Demonstrated high standards of personal and professional conduct and represented the organization or work unit effectively.

Level 5

Additions at the level 5:

Contributed business results beyond what was expected; results were far superior in quality, quantity, and/or impact to the stated objective.

Supervisory contributions were exemplary and the results achieved went well beyond what was expected in terms of quality, quantity, timeliness and/or impact.

Proactive and innovative in instituting measures to foster increased productivity, safety and harmonious relations within the workplace.

Exhibited the highest standards of professionalism

Band 2

Level 3:

Effectively achieved the stated objective that was technically sound, accurate, thorough, documented, and met applicable authorities, standards, policies, procedures, and guidelines.

Planned, organized, prioritized, and scheduled own work activities to deliver the objective in a timely and effective manner, making adjustments to respond to changing situations and anticipating and overcoming difficult obstacles as necessary.

Provided clear guidance to others by translating organizational goals into concrete objectives, plans, priorities, and assignments for work unit members; coordinated work activities and proactively monitored progress to ensure tasks were completed efficiently and effectively.

Achieved expected results by effectively carrying out all established supervisory responsibilities.

Maintained a productive, safe and harmonious workplace by responding promptly and effectively to employee misconduct, prohibited discrimination, harassment, deficient performance, etc.

Demonstrated high standards of personal and professional conduct and represents the organization or work unit effectively.

Level 5

Additions at the level 5:

Contributed business results beyond what was expected; results were far superior in quality, quantity, and/or impact to the stated objective.

Supervisory contributions were exemplary and the results achieved went well beyond what was expected in terms of quality, quantity, timeliness and/or impact.

Proactive and innovative in instituting measures to foster increased productivity, safety and harmonious relations within the workplace. Exhibited the highest standards of professionalism.

Band 3

Level 3:

Effectively delivered an objective with broad and significant impact that was in alignment with the mission and objectives of the organization as well as applicable authorities, standards, policies, procedures, and guidelines.

Established priorities and coordinated work across projects, programs, or people, effectively balancing competing work demands and anticipating and overcoming difficult obstacles to achieve a timely and positive outcome.

Provided clear guidance to others by translating organizational vision and goals into concrete objectives, strategies, plans, priorities, and assignments; coordinated work activities and proactively monitored progress to ensure that the goals were achieved.

Achieved expected results by effectively carrying out all established supervisory responsibilities.

Maintained a productive, safe and harmonious workplace by responding promptly and effectively to employee misconduct, prohibited discrimination, harassment, deficient performance, etc.

Demonstrated high standards of personal and professional conduct and represents the organization or work unit effectively.

Level 5

Additions at the level 5:

Contributed business results beyond what was expected; results were far superior in quality, quantity, and/or impact to the stated objective.

Supervisory contributions were exemplary and the results achieved went well beyond what was expected in terms of quality, quantity, timeliness and/or impact.

Proactive and innovative in instituting measures to foster increased productivity, safety and harmonious relations within the workplace. Accomplishments and outcomes were of such magnitude that they contributed to the organization exceeding its mission goals and objectives for the year.